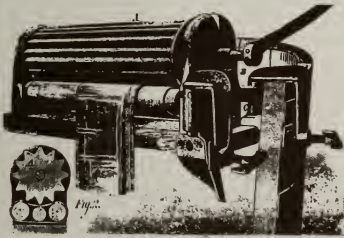
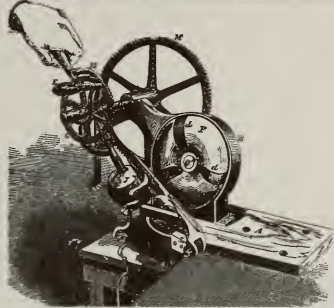


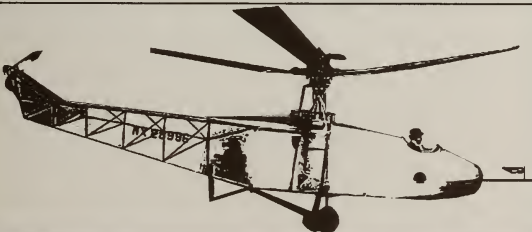
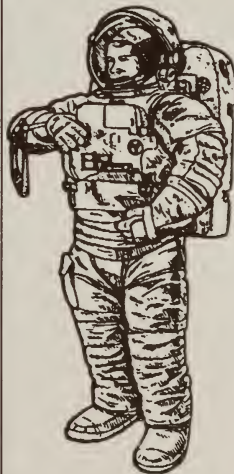
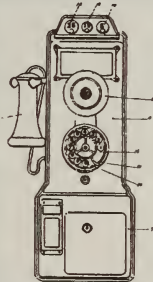
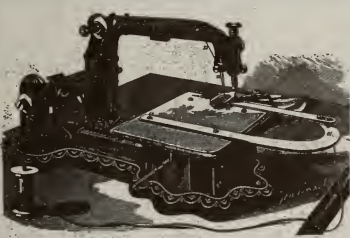
The Digest

of Administrative Reports
to the Governor

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*100 Years
of Connecticut
Ingenuity*



JOHN G. ROWLAND, GOVERNOR



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STATE OF CONNECTICUT

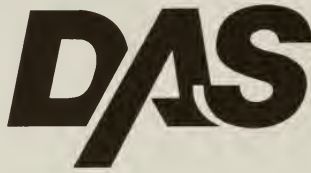
DIGEST
of
ADMINISTRATIVE
REPORTS
to the
GOVERNOR
1998-99

Volume LIII

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Communications Office

Donna J. Micklus
Director of Communications

John McKay
Editor

Cindy Duberek
Assistant Editor

Staff

Heather Cavanaugh
Michael Mansfield
Nina Ritson

About the Cover

The cyclepede, washing machine, sewing machine, apple parer, VS300 helicopter, payphone, and spacesuit are among the inventions patented by Connecticut residents. Now researchers will have an easier time accessing this information through an online index of Connecticut patents to be added to the Connecticut State Library web page.

An outgrowth of the Connecticut State Library museum's industrial history theme, the Connecticut Patent Project is an ongoing undertaking to identify Connecticut's historical contribution to America's industrial and cultural development.

The Connecticut State Library museum staff continues its research in updating patents and raising the profile of Connecticut's inventors.

For more information on the Connecticut State Library's Patent Project visit their website at: <http://www.cslib.org/>

Cover: *100 Years of Connecticut Ingenuity*. Cover design by Nina Ritson. Special thanks to the Connecticut State Library.



STATE OF CONNECTICUT
EXECUTIVE CHAMBERS
HARTFORD, CONNECTICUT

JOHN G. ROWLAND
GOVERNOR

November 1999

As depicted on the cover, *100 Years of Connecticut Ingenuity*, creativity and an entrepreneurial spirit are synonymous with our state.

Now on the threshold of the 21st century, discovering new and resourceful ways to achieve goals is a standard that Connecticut's state agencies have redefined in their efforts to run government more like a business.

Agencies are continuing to cut costs and finding ways to do business more effectively and efficiently than ever before. Their achievements clearly reflect our collective determination to better serve our most important customers: the citizens of Connecticut.

Inside the *Digest* you will find a comprehensive compilation of these achievements of the past year, and a clear vision of the future for state government as we enter the next millennium.

My sincere gratitude to commissioners and state employees who continue to go beyond the expected, building on a heritage of ingenuity to create a future of promise.

Sincerely,

A handwritten signature in cursive script that reads "John G. Rowland".

John G. Rowland
Governor



John G. Rowland
Governor



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Board for State Academic Awards

At a Glance

MERLE W. HARRIS, *Executive Director*
Vilma P. Allen, *Associate Executive Director*

Established - 1973

Statutory authority - CGS Sec. 10a-143

*Central office - 55 Paul J. Manafort Drive,
 New Britain, CT 06053-2142*

*Average number of full-time and
 part-time employees - 31*

*Recurring operating expenses -
 BSAA Operating
 Fund - \$2.1 million*

*Organizational structure - Main office
 and three regional offices*

CHARTER OAK



STATE COLLEGE

Mission

1. Offer coherent, college level curricula and degree programs which incorporate transfer credit, examinations, and other methods of credit and competency validation; 2. Develop valid and reliable tests and other methods to evaluate and assess experiential and extracollegiate learning as alternatives to classroom study; 3. Provide access to educationally sound learning through a variety of means including video, computer and other electronically-mediated technologies; 4. Inform and guide the public about opportunities for earning credentials by alternative means; 5. Provide testing and credit registry services, and information regarding such services, to the public; 6. Extend access to higher education to all adults who demonstrate the ability to perform on the collegiate level and to foster enrollment and graduation of diverse populations; and 7. Encourage innovation in meeting the needs of adult learners and to serve as an advocate for adult learners in higher education.

Statutory Responsibility

The Board for State Academic Awards (BSAA), established in 1973 by the Connecticut General Assembly, provides diverse and alternate opportunities for adults to earn degrees. The Board accomplishes its mission through Charter Oak State College and the Connecticut Distance Learning Consortium. Relying on the judgment of professional educators, the Board validates learning acquired through examinations, independent study, work experience, noncollegiate sponsored instruction, and traditional study. The BSAA is informed in all activities by its statutory responsibility as reflected in its mission statement. Charter Oak State College benefits its customers in the following ways.

Graduates: Degrees from Charter Oak facilitate career advancement and baccalaureate degrees provide access to graduate schools. To date more than 5000 adults have graduated from Charter Oak State College. A total of 356 individuals graduated in 1998-99; 15.5 percent were minority students. Over 40 percent of Charter Oak's baccalaureate degree graduates enroll in graduate school immediately upon graduation; over 43 percent of its graduates receive professional and financial recognition from their employers, or find a job immediately upon graduation.

Students: Charter Oak was established to accommodate adult learners with career and family responsibilities who are pursuing a degree on a part-time basis. The College has no residency requirement and does not limit the amount of credits a student may transfer from regionally accredited institutions; therefore, students can usually complete a degree more quickly

from Charter Oak than elsewhere and at a more moderate cost. In 1998-99 Charter Oak provided 2019 adult learners with access to a high quality undergraduate degree program. Charter Oak accomplishes this by providing an alternate way to earn an associate or bachelor's degree using transferred credit, classroom-based or distance learning courses, noncollegiate sponsored courses including those offered through the military service, testing, portfolio assessment, and contract learning. Three students were recognized by the General Assembly for their outstanding academic qualities.

Public Service

Outreach. Special on-site information and guidance services were provided to over 200 members of underrepresented minority groups at community centers as well as social service and educational organizations; information and guidance services were provided to over 200 individuals in adult education sites in 28 Connecticut towns; and a mailing about the College was included in the paychecks of 35,000 state employees. Of the 752 CLEP and DANTES exams administered by Charter Oak, 324 were to students enrolled at other Connecticut colleges and universities. The College also provides credit registry services for individuals, including Connecticut teachers, who wish to record academic achievement on a transcript.

State Agencies. Information services and resource materials were provided to 31 state and non-profit agencies including the Bureau of Rehabilitation Services, Department of Education, Department of Mental Health, Department of Social Services, and the Education/Employment Information Center counselors.

Connecticut Colleges and Universities. In 1992, the Board of Governors for Higher Education recommended that Charter Oak play a significant role in assessing prior learning for other colleges/universities using noncollegiate instruction review services and portfolio assessment. In response to that recommendation, the College distributes to Connecticut institutions of higher education copies of its annual publication describing the Board for State Academic Awards noncollegiate reviews. In addition, Charter Oak conducts portfolio assessments for students enrolled at other Connecticut colleges and universities.

College representatives counseled over 200 individuals at transfer fairs held by 12 state community-technical colleges.

Corporations. Through the Connecticut Economic Resource Center data base, Charter Oak promotes its designation by the American Council on Education's College Credit Recommendation Service (formerly ACE/PONSI) as its Connecticut evaluator of noncollegiate sponsored instruction.

College representatives presented information sessions at Pratt and Whitney, Sikorsky, MassMutual, Pfizer and Hamilton Standard.

Improvements/Achievements 1998-99

Use of Continuous Quality Improvement methods; input from staff, faculty and Board; research; data from surveys of graduates and students; and implementation of the College's Strategic Plan activities contributed to a number of improvements and resulted in several achievements. Among the improvements was the development and implementation of the College's own Payment Plan effective July 1, 1998. About 19 percent of the students have availed themselves of the service this fiscal year.

Achievements:

- The College moved to its first permanent home in New Britain. The new two-story, 13,850 square foot building comfortably provides the space required to accommodate and support learning opportunity for the College's growing enrollment.
- The College has enjoyed a record enrollment this year.
- The Distance Learning Program continued its expansion with the addition of three new video-based and three new online courses.
- The Charter Oak State College Foundation Endowment Campaign surpassed its first year goal of \$100,000 in donations by more than \$12,000. The five-year campaign, launched in 1998, is structured to raise \$500,000 by December 2002.
- The Commission on Human Rights and Opportunities approved the College's Affirmative Action Plan.

Reducing Waste

The College has developed cooperative arrangements with the Connecticut State University

System and Central Connecticut State University to receive cost-effective services for its new facility. These services include the telephone, computer support, implementation of the Banner data system, building and grounds maintenance, and mail services.

Strategic Planning

The College continued to make progress in addressing the goals and objectives of its Strategic Plan for 1996-2000. The goals of the plan have been key factors in budget development, the allocation of staff time, and the development of new initiatives. Among the objectives of the plan with which the College has made considerable progress:

- The successful launching of its endowment campaign.
- The move to modernize its data base through the use of Banner software for student, alumni, financial, and personnel information.

Connecticut Distance Learning Consortium Statutory Responsibility

The Connecticut Distance Learning Consortium (CTDLC) is a membership organization of educational institutions which promotes and delivers distance education. Its functions include providing a single point of presence for distance learning offered by Connecticut Public and Independent Institutions; marketing Connecticut distance learning; assessing Connecticut distance learning to provide data for improvement; providing a high quality infrastructure to members; delivering asynchronous education and worker re-training; and providing a forum for discussion of distance learning in Connecticut.

Public Service. The CTDLC members collaborated in such areas as marketing, assessment, faculty training, financial aid, and community literacy about distance learning. The goal is to work jointly to lower the costs of distance education by reducing duplication in the delivery of high quality education to distance learners and the state's tax payers.

Improvements/Achievements 1998-99: CTDLC delivered over 30 courses for its members using the shared course delivery infrastructure that it has built. It launched an assessment project to discover who its students are, their reasons for choosing distance delivery, and their satisfaction with the courses.

\$100,000 in course development awards were made to faculty developers. These 40 awards of \$2500 each encouraged improvements in faculty pedagogy, rewarded innovation, and reduced duplication.

The CTDLC was chosen as one of 15 sites across the nation for the US Dept. of Education Demonstration Program and is assisting Washington in designing a system for offering Title IV financial aid to distance students. This means that members of CTDLC involved in the Demonstration Program received waivers that enable the members' eligible distance learning students to receive Title IV funding.

Reducing Waste: Because the 30 member institutions are working together, there is reduced need for separate infrastructures, course designers, faculty trainers, and marketing budgets. This inter-institution cooperation includes both publics and privates, and both two-year and four-year schools.

Members of the Board during 1998-99: Chandler Howard, Farmington, chair; Thomas W. Johnson Jr., Windsor, vice chair; Vincent A. Socci, New Canaan, secretary; Joseph Halloran, Middlebury; Astrid Hanzalek, Suffield; John H. Titley, Watertown; alumni member represented by Christopher Hughes, Newington; and student member represented by Pat Hickox, Middletown.



Department of Administrative Services

At a Glance

BARBARA A. WATERS,
Commissioner

Alan Mazzola, Deputy Commissioner
Established - 1977

Statutory authority - CGS Sec. 4, et al.
Central office - 165 Capitol Avenue,
Hartford, CT 06106

Average number of full-time
employees - 404

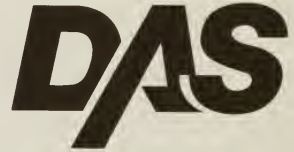
Recurring operating expenses -
General Fund - \$27.3 million
General Services Revolving
Fund - \$24.6 million

Capitol outlay - \$1.4 million

Organizational structure - Human
Resources Business Center, Business En-
terprises, Fiscal and Administrative Re-
sources Business Center, Strategic Lead-
ership Center and the Commissioner's
Office

Mission

To maximize our customers' suc-
cess in getting their jobs done
through the delivery of cost-effec-
tive, innovative, and timely man-
agement of services and products.



Statutory Responsibility

The 1977 reorganization of the executive branch of state government established the Department of Administrative Services (DAS) as the single agency in charge of providing administrative services to other agencies. The objectives in forming DAS were to take advantage of economies of scale in service provision and organization, to minimize jurisdictional problems in the provision of services, to streamline service provision procedures, and emphasize service over control.

The Department of Administrative Services was originally organized into five coordinated operating units as well as a centralized support unit in the Commissioner's Office. In 1987, the Bureau of Public Works became an independent department.

Commissioner's Office

The office consists of the Commissioner's staff, the Communications Office, the agency's Policy and Legislative Advisor, and the Business Advisory Group. The Communications Office manages long-term strategic as well as day-to-day communication policies of DAS. This includes preparing and executing plans for internal and external communications; planning and producing publications; coordinating media relations and crisis communications. The Communications Office has also expanded its services to include consulting work to other state agencies. The Policy and Legislative Advisor is responsible for the development and implementation of the DAS Legislative Program, including the drafting, and interpretation of agency regulations, as well as serving as one of the principal legal/policy advisors for the Commissioner.

The Business Advisory Group (BAG) was created in 1998 to provide ongoing legal support and oversight for DAS operations. BAG takes a proactive role in addressing legal issues that arise on a daily basis in DAS and provides ongoing employment policy support to other state agencies.

Business Enterprises

Business Enterprises is responsible for four core functions: 1) Procurement, which includes buying products and services for state agencies; contract negotiations; intergovernmental procurement initiatives; customer and supplier relations; and set-aside programs for small busi-

nesses, minority, and women-owned businesses; 2) Fleet management which involves related services such as vehicle procurement; long-term vehicle leases and daily car rentals and loaners; vehicle maintenance and repair; operator safety and disposal of used vehicles; 3) Distribution of federal and state surplus property and federal donated foods; and 4) Document management, including printing services; and mail and courier services.

Fiscal and Administrative Resources

Fiscal and Administrative Resources Business Center (FAR) provides a full range of financial services for DAS and other agencies and provides collection and revenue maximization services for a variety of social services agencies. FAR is divided into three units: The Fiscal Management unit's responsibility is to provide comprehensive financial services in the areas of budget, accounts payable, accounts receivable, purchasing, property management, and grants administration to DAS and a variety of other agencies including the Governor's Office and the Lieutenant Governor's Office. It also oversees the Master Insurance Program offered to local housing authorities throughout the state. The Information, Intake, and Input Unit's (III) primary responsibility is to maximize revenue by investigating billing and collecting for services provided by the Departments of Mental Retardation and Mental Health and Addiction Services whose facilities and programs span the state. The Recovery Unit's primary responsibilities are to obtain reimbursement of public assistance benefits paid by the Department of Social Services, and the investigation, billing and collection of inpatient services provided by the Department of Mental Health and Addiction Services and the Department of Children and Families.

Human Resources Business Center

The Human Resources Business Center (HR) is responsible for four core functions: 1) Organizational effectiveness; including organizational design services, continuous quality improvement, agency support, consultation and training for performance improvement, leadership development, succession planning, strategic human resource planning; 2) Job classification design, systems management and compensation and evaluation research; 3) Staffing support for government agencies which includes recruitment, examination, assessment and selection, job placement, affirmative action and ADA compliance; 4) Administration of the statewide Workers' Compensation System.

Strategic Leadership Center

The Strategic Leadership Center (SLC) oversees the business plan implementation throughout the agency. SLC develops, executes, and monitors all performance measurement and customer feedback, technology planning and infrastructure, project management, and internal auditing.

SLC coordinates the Governor's Service Award, "Customers Count," and statewide implementation of government quality improvement through its role in the Connecticut Quality Council Government Committee and the Connecticut Award for Excellence. SLC provides support and direction to the three DAS business centers as they implement their respective process improvements. SLC's Internal Audit Unit tracks progress and monitors follow-up on recommendations made by the Auditors of Public Accounts and conducts internal audits of functions throughout the agency.

Boards and Commissions

A selection of state boards and committees on which the Department of Administrative Services is represented includes:

- Connecticut Quality Council Government Committee
- Connecticut Innovations Committee
- Connecticut Award for Excellence
- Information and Telecommunications Systems Executive Steering Committee
- State Standardization Committee
- State Core Financial Systems Executive Steering Committee
- Governor's Steering Committee for the Americans with Disabilities Act
- State Committee on Upward Mobility
- Small Business Set-Aside Program Interagency Coordinator Council

Capitol Child Development Center
 State Employees Retirement Commission
 Software Management Policy Committee
 State Emergency Relief Fund Task Force
 Hartford Marketing Collaborative
 Governor's Emergency Management Response Team

Public Service

DAS, as a central agency, must be able to respond to its customers' needs quickly and efficiently. Many opportunities to improve service arose during FY 98-99, and DAS successfully responded to these challenges with the following actions:

- FAR generated nearly \$640 million in revenue to benefit the taxpayers of the state, \$100 million above projections and previous high.
- HR responded to customer needs to fill critical positions quickly and easily by placing a number of job classes onto the continuous recruitment list to assist agencies in filling positions in a more timely manner.
- The DAS web page continued to expand to include statewide recruitment efforts at significant cost savings. Policies, procedures and manuals are now available online with access to the appropriate links, search engines, and interactive applications.
- Established a program of "Info Sessions" designed to educate customers on the various functions of the Business Office, and how to utilize the services.
- Communications launched a speaking tour of Rotary Clubs throughout the state spreading the message of DAS programs, their importance to municipalities, and to highlighting cost-saving initiatives for Connecticut taxpayers.
- Instituted point-of-service customer satisfaction surveys in Fleet and Print operations.
- Facilitated a process analysis of the workers' compensation third party administrator.
- Coordinated a building-wide safety initiative within the state office building.
- SLC's Management Information Solutions (MIS) partnered with the Human Resource Business Center (HRBC) to increase the number of hits on the HRBC website from 600 to over 60,000 within 6 months by adding many new resources: the Performance Profile Managerial Performance Appraisal System, the PARS handbook, travel and tuition reimbursement charts, labor contracts and compensation plans, links to other state websites, job specifications and job application forms. Many of these provide valuable resources to other state agencies and to the public.
- Re-engineered the small business certification process, reducing certification turnaround time from three months to two weeks.
- Enhanced Procurement website to include pending contracts, electronic commerce information, newly awarded contracts, etc.
- Opened a Procurement Learning Center for vendors and delivered program to over 200 participants.

Improvements/Achievements 1998-99

- Signed contract for electronic commerce and commenced enrollment of initial participants that include five state agencies, 65 towns, 15 school systems, 23 vendors, and involve 38 contracts. Instituted major enhancements for processing online price lists.
- The partnership between DAS and the Community Technical College system proved successful with a 17 percent increase in spring semester enrollment for development programs.
- The DAS/HRBC workers' compensation unit took over the claim processing for several smaller agencies, plus the automated workers' compensation system (AWCS) time and attendance enhancements were designed, implemented, and are now in production. Workers' Compensations' third party administrator (TPA), Berkley, is conducting on-site claim investigations and fraud avoidance/detection programs.
- Developed a Subrogation Unit to work with the Attorney General's Office and the State's TPA for Workers' Compensation. Since the program was fully implemented in January, subrogation recoveries have increased by almost 125 percent compared to the first six months of the year (\$470,000 vs. \$210,000).

- A new ADA training project was designed and implemented with more than 400 participating throughout the fiscal year.
- A draft HR Planning document entitled *Current Trends and Planning Challenges for Connecticut State Government Human Resources* was completed. The plan includes facts on the Connecticut state workforce, trends and influences that will affect government, as well as conclusions and recommendations.
- FAR's expansion of business during FY 99 included the addition of the following new customers:
 1. Department of Veterans' Affairs
 2. Board of Firearms Permit Examiners - full budget and financial services.
 3. Municipalities in the Housatonic and Naugatuck Valley Regions - Grant Administration.
 4. UCONN Law School - Grant Administration.
 5. Southeast Mental Health Authority (DMHAS) - property management.
- FAR also assumed responsibility for the Master Insurance Program for local Housing Authorities. It saves \$6 million dollars a year for residents served by these housing authorities. The Master Insurance Program has received 95 signed MOU's (Memorandum of Understanding) from local Housing Authorities, agreeing to pay a fee for participation, making the program a self-sufficient business for FY00.
- Assigned Account Managers to each of the DAS customer agencies to enhance services and facilitate "one-stop shopping."
- Developed and electronically distributed an updated set of Agency Travel Policy and Procedures.
- Grants Unit administered 46 grants, worth over \$1.5 million in federal, state, and private grant funds.
- Assisted Greater Valley Chamber of Commerce in applying for and being awarded a grant for Federal Funds to educate and train low-skilled workers to enter the labor market.
- The Management Information Solutions unit of SLC continued to roll out a comprehensive office automation strategy, which supports all the businesses of DAS. The entire DAS workforce has up-to-date computer hardware and software. Training in computer applications continues to be available on an open-enrollment basis.
- MIS created and supports an Internet-based exam application process that saves time and money, and greatly increases DAS' capacity to reach out to under-represented groups.
- Designed an "application loader" program which stores numerous applications on a secured network drive so that data cannot be corrupted, and applications can be continuously modified without interruption in service.
- SLC also created scorecards on performance outcomes for all DAS business centers and monitors those outcomes in relation to the business plan throughout the year, and provided financial/analytical assistance to FAR on a number of projects including developing a revolving fund budget process.
- Business Enterprises completed the procurement card pilot program (extended to 12 agencies with monthly spending exceeding \$250,000) in order to expedite procurement and pay vendors promptly, and absorbed DECD Set-Aside program, and automated systems for registering and administering small and minority business enterprises.
- The Business Advisory Group achieved legislative reform in areas of competitive negotiation, multiple criteria bids, advertising requirements, standardization, surplus property disposition, purchasing card dollar limits, and transfer of Set-Aside program from DECD to DAS.
- Initiated on site visits to Small Business Enterprises to verify certification status.
- Developed groundbreaking contracts for digital copiers and other major commodities.
- Initiated online registration system for 3,200 vendors.
- Completed renovations of Fleet garage in Wethersfield and phase one expansion/renovations of New Haven garage.
- Initiated an in-house warranty program, serving as manufacturers' representative to

save time and reduce cost at Fleet Operations.

- DAS partnered with DOT on use of an automated fuel system for Fleet vehicles.
- Introduced use of purchasing card for auto parts and contributed to initial restructuring of the parts procurement process.
- Improved environmental impact of fleet vehicles:
 1. Thirty-two percent of new vehicles qualify as alternative fuel vehicles (ATV)
 2. Total of 269 ATV's for entire DAS fleet
 3. Ten experimental all electric vehicles added
- Fleet Operations achieved customer satisfaction level of 96 percent.
- Collected a record \$750,615 from a single vehicle auction.
- Trained all state agencies on use of online property distribution system.
- Achieved gross auction sales of \$1,956,541.
- Sold surplus property to 54 municipal jurisdictions.
- Processed approximately 62,800 state surplus items.
- Secured \$1.9 million in federal surplus property for state and local governments. This amount exceeded the FY98 market value of donated property by \$560,698.
- DAS' Food Distribution program: conducted agency's first food processing exposition; Instituted a centralized monthly order process within DAS; Exceeded target of processed commodities by 52,000 cases; and developed a in-house computer system for management of food distribution.
- Increased the number of agencies for which BAG provides Affirmative Action services from two to eight. All plans filed on behalf of its customer agencies were approved by the Commission on Human Rights and Opportunities.
- Communications helped create a completely new electronic image and develop a more customer-friendly approach to the website with an improved navigation chain. Also, succeeded in posting DAS newsletters and news releases on the site.
- Connecticut International Association of Business Communicators awarded DAS Communications the Bronze Quill Award in layout and graphic design for its work on the Department of Social Services' Annual Report. Communications also did layout, design, and copy edit for the Department of Economic and Community Development's publication, the *DECD Agenda* which won an award from the National Association of Economic Development Agencies.
- DAS Communications successfully published articles in national and statewide publications including: *Government Technology*, *Connecticut Business Magazine*, *Fleet Administrative News*, *State Personnel View* (Winter 98-99)
- Communications partnered with the Strategic Leadership Center to create DAS Central, an electronic bulletin board to serve as a repository for all DAS news and policies.
- Developed new travel policies and trained Chief Fiscal Officers on the new guidelines for travel.
- Communications began marketing its consulting services to agencies, entering into MOU's with DECD, DMR, and DSS amounting to more than \$80,000 in new business gross revenues.

Reducing Waste

- The requirement for a formal merit system examination was administratively eliminated for 211 job classifications that require advanced degrees, licensure, or certification requirements.
- FAR underwent a business process review, involving a thorough mapping and analysis of each and every business process. This undertaking resulted in more than 50 time and cost saving improvements totaling over 650 hours per month in time saved.
- Automated the Small Business Set-Aside Reporting process, saving manual processing.
- The Communications staff developed the copy, design, and layout for DAS' Annual Report "*Positioned for the Future*" saving more than \$8,000 in consultant fees, and bringing state and national attention to DAS achievements.
- Completed the successful pilot of the Procurement Card program and expanded its use

throughout the Department.

- Initiated use of an automated Travel Authorization Request form throughout the agency.
- The Birth to Three program of DMR was implemented, generating \$13 million in new paid claims.
- A new partnership was established with the Department of Veterans' Affairs for billing/claim services. This generated \$8 million in new paid claims.
- Scanned over one million documents to CD's as part of DAS' paper reduction project.
- Conversion of the Check Receipts database has improved turnaround time for the deposit of revenue in the General Fund and has significantly improved internal audit ability.
- Multiple small estate databases were integrated to improve revenue turnaround and increase operational efficiency.
- SLC provided project management/support on major initiatives in Procurement, Fleet, Print Operations, Surplus Property Distribution, Federal Donated Foods, and the Business Office to streamline processes, eliminate waste and improve overall performance of all systems within DAS. This agency measures progress on these efforts using the agency measures outlined in the Strategic Business Plan.
- In 1999 the DAS Internal Audit staff: Conducted validation audits of prices for two prime vendors and conducted worker's compensation audits of settlements, processing assessment, overpayments, wage matching, and bank reconciliation. This audit identified \$108,000 in savings of which part was recouped from health care providers and part which would be saved with a change in operating policy.
- Saved \$50,000 in annual printing and mailing costs by instituting electronic bids notification and contract award information.
- Announced plan to consolidate Fleet Seymour garage with New Haven garage.
- Closed Middletown warehouse operation and consolidated operations with Wethersfield based location. Reduced warehouse inventory by 44 percent and substituted a "just in time" acquisition policy to improve cost effectiveness.

Strategic Planning

- In the area of Year 2000 readiness, DAS was the first agency certified by the Department of Information Technology (DOIT) for all but four system applications. These exceptions will be completed within the next two DOIT certification visits that are scheduled for September and November, 1999.
- SLC published the Strategic Business Plan online. Using the Lotus Notes e-mail and database management system, the plan has been made accessible to all DAS employees at their desktops with live links to financial data and quality improvement initiatives that relate to the plan.
- Organized a Human Resources Architecture Group comprising government human resource professionals to set the direction of human resource programs in Connecticut.
- Marketing the State of Connecticut as an employer of choice using the "You Belong in CT" campaign.
- Implement Workers' Compensation Contractual Improvements.
- Work with CHRO to streamline the Affirmative Action plan development process and to computerize plan reports.
- Develop an employment law newsletter and website to disseminate information.
- Develop a Diversity Training Curriculum, as required by Public Act 99-180 to be used by all state agencies to train their employees.
- Improve budget reporting for Workers' Compensation by developing a program budget and necessary management reports.

Information Reported as Required by State Statute

Pursuant to Sec. 5-204 of the CGS, the Commissioner of Administrative Service shall compile currently and submit to the Governor, giving information as to:

Total Employee Figures:

Full-Time Employees	Part-Time Employees	Other Employee	Total Employees
<u>Totals</u>	<u>Totals</u>	<u>Totals</u>	
51,150	6,733	2,916	60,799

Total Classified Employee Figures:

Full-Time Employee	Part-Time Employee	Other Employee	Total Employees
<u>Totals</u>	<u>Totals</u>	<u>Totals</u>	
36,991	2,949	1,231	41,171

Total Employee Turnover Figures from July 1, 1998 to June 30, 1999:

	Full-Time Employee	Part-Time Employee	Other Employee	Total Employees
	<u>Totals</u>	<u>Totals</u>	<u>Totals</u>	
Separations: Classified	2,785	607	1,007	4,399
Separations: New Hires:	2,184	367	929	3,480
Classified New Hires:	4,439	1,142	1,187	6,768
	3,042	820	1,041	4,903

Distributed to the Office of the Comptroller:

- Reporting Package
- Fixed Assets/Property Inventory Report
- Statewide Cost Allocation Plan

Distributed to the Office of Fiscal Analysis Annual Financial Statements for Internal Service Funds

Affirmative Action Reporting Requirement

The Department of Administrative Services is aggressively pursuing affirmative action goals in all aspects of its personnel policies. For DAS (excepting Procurement Services) the set-aside goal established for utilization of Connecticut small businesses was \$1,929,875. The actual achievement was \$1,300,748. The small minority business goal was \$482,468 and the actual achievement was \$967,327.

Under the provisions of Sec. 4a-58, the following is a statement of all Standardization Transactions approved during the period July 1, 1998 through June 30, 1999:

Number	Agency & Description	\$Value
2835 Amend #1	Dept. of Transportation -Request for assignment of the Purchase of Doppler Imaging Radar Service	\$105,000.00
2875 Amend #7	Conn. Valley Hospital - Maintenance of Honeywell Complete Turnkey Integrated Card Access & CCTV System	\$50,000.00
2944 Ext. #1	Dept. of Information Technology - Telephone Service MCI Worldcom	\$50,000,000.00
2945	Dept. of Correction - Software upgrade Y2K Compliance	\$88,750.00

3015 Amend #1	Workers Compensation - Request to extend Edward Myette an Applications Developer	\$132,000.00
3041 Amend #1	Dept. of Information Technology for Dept. of Revenue Services - Auto Dial License Upgrade Costs	\$83,995.00
3061 Amend #1	Dept. of Public Works for Dept. of Public Safety - Turnkey Installation change to add the garage for security and access control	\$5,467.00
3069	Dept. of Administrative Services - Maintenance and copy charges for a Xerox 5390 Leased Copier	\$14,000.00
3070	Dept. of Public Safety/State Police - Purchase of Midland Radios & Accessories	\$59,794.00
3071	Dept. of Social Services - Renewal of Application/Operations Software for CCSES	\$525,192.00
3072	Attorney General's Office - Conversion of paper documents to CD's for use in court case.	\$21,000.00
3073	Dept. of Transportation - Ongoing authorization to enter into a Hardware/software vehicle and auxiliary equipment maintenance agreement for DOT's Automated Road	\$60,000.00
3074	DPS/State Police - Purchase of Drugfire APM Client	\$26,786.00
3075	Dept. of Corrections - 90 Day Trial Period of Random Tracking Watch Payroll System	\$615,660.00
3076	Dept. of Information Technology - Sniffer Service Desk Suite Software to renew & upgrade for two years	\$22,950.00
3077	Dept. of Correction - Honor Guard Uniforms	\$12,971.00
3078	Dept. of Public Health - Purchase of Rifadin TB Drugs	\$60,000.00
3079	Dept. of Labor - Continuation of Year 2000 consulting	\$142,200.00
3080	Dept. of Information Technology - Purchase of Novell operating systems products	\$500,000.00
3081	DPS/State Police - Purchase of Forensic Comparison Microscope	\$61,674.95
3082	Dept. of Education - Student Interscholastic Sports Insurance	\$36,500.00
3083	Dept. of Information Technology - Purchase of Microsoft Standard Products	\$750,000.00
3084	Board of Education Services for the Blind - Furnish & Install Open Panel Systems Furniture at 184 Windsor Ave, Windsor	\$289,815.00
3084 Amend #1	Board of Ed. Services for the Blind - Add on/changes to original transaction	\$3,599.00
3085	Dept. of Environmental Protection - Advertising Program to inform public of deadline for removal of underground commercial fuel tanks	\$24,960.00
3086	DOIT/for Dept. of Education - purchase of Learning LogicLabs and Software License Fees	\$674,590.50
3087	Dept. of Correction - Purchase of Uniform Shirts, Trousers, and Turtlenecks	\$17,978.95
3088	Dept. of Motor Vehicles - Purchase of Booklets for "Connecticut State Employee Campaign for Charitable Giving"	\$12,790.00
3089	Dept. of Social Services/Rehab Services -	

	Purchase and installation of a Residential Elevator	\$12,200.00
3090	Dept. of Agriculture - Emergency Veterinary Services	\$12,919.00
3091	Dept. of Children & Families/Riverview Hospital - Purchase of batteries for Inverter Pack System	\$19,140.00
3092	DOIT/Dept. of Corrections - Purchase of Siemens Nixdorf hardware & software	\$47,430.40
3093	Dept. of Labor - Rental of Conference Facility	\$15,000.00
3094	Cedarcrest Hospital - Maintenance Services for Refrigeration Units	\$30,000.00
3095	DOIT/Attorney General's Office - Consulting Services to upgrade existing equipment and ensure Y2K compliance	\$48,000.00
3096	Military Dept. - Rental of various sized office trailers	\$6,600.00
3097	DAS for Governor's Office - Governor's Office in Washington DC for office supplies and office support	\$10,000.00
3098	Workers' Compensation Commission - Rental of Conference Facility	\$70,000.00
3099	DOIT/Dept. of Transportation - Purchase Software maintenance, installation, and training	\$167,240.00
3100	DOIT/Dept. of Transportation - Purchase Hardware and Software	\$1,479,702.00
3101	Dept. of Administrative Services - Processing of Chicken for the Federal Donated Food Program	\$131,170.38
3102	DOIT/Dept. of Transportation - Request to Purchase Hardware & Software	\$752,275.00
3103	Dept. of Information Technology - Request to purchase hardware, installation, and maintenance	\$192,500.01
3104	Labor Dept. - Repackaging of Unemployment Compensation Checks	\$21,538.00
3105	Dept. of Environmental Protection - Emergency Repairs to Septic System at Lake Warmaug Campground	\$10,092.00
3106	Dept. of Corrections - CPR Trainer & Recert of DOC Staff	\$29,875.00
3107	Dept. of Information Technology - Purchase of Hardware and Monthly Service Fees to support the Megan's Law database	\$34,091.88
3108	Dept. of Transportation - Repairs to a catch basin cleaning unit	\$33,000.00
3109	Dept. of Education - Purchase of Metalworking Training System	\$25,585.00
3110	Dept. of Transportation - Fabrication of a truck mounted crash cushion	\$12,100.00
3111	Dept. of Transportation - Purchase of refurbished open panel system furniture	\$20,318.00
3112	Dept. of Labor - Purchase of Software	\$36,450.00
3113	Dept. of Social Services - Purchase of Telerecorder Transcription Services form 1/1/99 through 3/31/99	\$81,450.00
3114	Dept. of Transportation - Incorporation of Mainframe Acquisition Tracking System into the Image Records Management System at DOT's Office of Rights of Way	\$184,320.00
3115	Dept. of Information Technology - Telecomm Contracts 2 years	\$3,000,000.00
3115 Ext. #1	Dept. of Information Technology - Telecomm Contracts Extension 2 years	\$32,000,000.00

3116	Dept. of Information Technology - Replace existing battery plant with 180 new batteries for the Uninterrupted Power Supply	\$70,011.49
3117	Dept. of Children & Families Riverview Hospital - Furnish & Install a fire alarm system in Building #2, Round Cottage	\$16,650.00
3118	Dept. of Information Technology - Purchase of Ultraseek Server Software Upgrade	\$55,688.00
3119	Dept. of Mental Health & Addiction Services - Purchase of Power Path Departmental Software	\$40,000.00
3120	Dept. of Administrative Services & Dept. of Corrections -Purchase of Great Plains software, support services, consultant services, additional licenses	\$87,133.00
3121	Dept. of Transportation - Repairs to Paxton Mitchell "Snooper 60"	\$35,000.00
3122	Dept. of Mental Health & Addiction Services - Purchase of Metaframe Software	\$96,500.00
3123	Dept. of Veterans' Affairs - Emergency Water Main Repair	\$10,965.60
3124	Dept. of Motor Vehicles - Maintenance Service for Offset Duplication Equipment	\$1,598.00
3124 Ext. #1	Dept. of Motor Vehicles - Maintenance Service for Offset Duplication Equipment	\$3,196.00
3125	Dept. of Public Safety/State Police - Channel Laptop Portable System for Electronic Surveillance	\$15,500.00
3126	Dept. of Children & Families - Purchase of Hitachi ZIA Camcorder with ancillary equipment	\$13,352.00
3127	Dept. of Economic & Comm. Dev./Office of Tourism - 6 th Annual Governor's Conference on Tourism and the 12 th annual unity dinner	\$34,000.00
3128	Dept. of Public Works - Emergency Custodial Services to clean up water damage due to leak from Cooling Tower at DOL Building	\$93,065.62
3129	Dept. of Transportation - Hire 12 additional vehicles for snow removal on an as needed basis	\$250,000.00
3130	Dept. of Information Technology - Purchase of CNC Mastercam Software for Dept. of Education	
3131	Dept. of Information Technology - Purchase of Lightspeed Software for Dept. of Social Services	\$23,096.00
3132	Dept. of Public Safety - Broadcast of Audio-Video Non-Commercial Sustaining Announcements	\$15,000.00
3133	Dept. of Environmental Protection - Provide Billboard Advertisement for Connecticut's Clean Air Program	\$36,600.00
3134	Dept. of Administrative Services - Purchase of 5 Crown Victoria Police Cruisers with Natural Gas	\$28,140.00
3135	Dept. of Public Works - Catering for Governor's Office & Mansion	\$150,500.00
3135 Amend #1	Dept. of Public Works catering for Governor's Mansion and Office for 4 years	\$49,000.00
3136	Dept. of Transportation - Purchase of Computer Programs	
3136	Dept. of Transportation - Purchase of Computer Programs for Sony Video Cameras in Photolog Vehicles	\$49,000.00
3137	Dept. of Public Works for Labor Dept. -	

	Decontamination of files and documents	\$16,800.00
3138	Dept. of Information Technology for Dept. of Public Safety - Computer Software	\$147,098.50
3139	Dept. of Administrative Services - Hayworth Office Furniture	\$50,000.00
3140	Board of Education Services for the Blind - Emergency Custodial Services	\$15,576.53
3141	Dept. of Transportation - Purchase/Install two safety gates at Chester/Hadlyme Ferry slips	\$24,830.00
3142	Dept. of Public Works - Purchase of Domestic/kitchen & household items for the Governor's Residence from 4/2/99 to 4/3/03	\$12,000.00
3143	Dept. of Environmental Protection - Purchase/installation of add-on components for existing Steelcase Panel System	\$132,000.00
3144	Dept. of Administrative Services/FAR - Replace/Install Vehicle Exhaust System in Wethersfield Fleet Garage	\$14,200.00
3145	Dept. of Public Safety/State Police - Purchase of Conversion kits to modify old style consolidator to the new design for computer laptop installation and related hardware in new police cruisers	\$31,622.50
3146	Dept. of Public Works - Equipment & Services for UCONN Victory Parade 4/17/99	\$15,349.00
3147	Dept. of Information Technology for Dept. of Social Services	\$297,075.00
3148	Dept. of Public Works - Emergency Custodial Services for water damage at Library/Supreme Court Building at 231 Capitol Avenue, Hartford	\$32,203.00
3149	Dept. of Transportation - Purchase of Red Timbers for replacing deck on West Street Bridge in Middletown	\$15,021.00
3151	Dept. of Transportation - Production of laser videodiscs used as the database for viewing photolog recordings and telemetry	\$68,580.00
3152	Dept. of Information Technology/Comptrollers Office for Unisys Technology Refresh	\$1,764,540.00
3153	Dept. of Mental Health & Addiction Services - Rental of Conference Facilities for Training of Co-Occuring Disorders	\$11,024.00
3154	Dept. of Banking - Rental of Conference Facilities for 1999 Securities Forum	\$18,065.25
3155	Dept. of Information Technology - Purchase of CNC Master Software/Purchase of SEMACM/9401-E-SCE Securecare extended MT	\$16,619.38
3156	Dept. of Correction - Purchase of Del Norte Miconet PIDS for Northern CI and Walker RSMU	\$106,000.00
3157	Dept. of Information Technology - Purchase of Unisys Software	\$68,400.00
3158	Dept. of Transportation - Purchase of Three Weigh in Motion System Electronics Packages	\$28,770.00
3159	Dept. of Correction - Repair/Upgrade of Siebe Environmental Controls System 300 at Cheshire CI	\$27,293.00
3160	Dept. of Motor Vehicles - Printing of CT Vehicle Law Books	\$9,978.30
3161	Dept. of Children & Families - Rental of Conference	\$10,286.00
3162	Dept. of Education - Consortium of State Agencies to Sponsor Broadcast of "Smart Start" series	\$397,950.00
	TOTAL	\$97,555,097.67

Connecticut Agricultural Experiment Station

At a Glance

JOHN F. ANDERSON, Director
Louis A. Magnarelli, Vice-Director
Established - 1875
Statutory authority - CGS 22-79, 22-118
Central office - 123 Huntington Street,
New Haven, CT 06511
Number of employees - 99
Recurring operating expenses -
General Fund \$4,798,854
Federal Funds \$1,913,430
Other \$189,017
Organizational structure - Administra-
tion, Analytical Chemistry, Biochemis-
try & Genetics, Entomology, Forestry
& Horticulture, Plant Pathology &
Ecology, Soil & Water, and Valley
Laboratory

Mission

The Connecticut Agricultural Experiment Station is chartered by the General Assembly to investigate plants and their pests, insects, soil and water; to analyze food, pesticides, fertilizers, and other products for state departments; to identify ticks to species, and to test ticks feeding on humans for the spirochetes that cause Lyme disease. The Station's motto is "Putting Science to Work for Society."



Statutory Responsibility

The Station carries out research as determined by the Station's Board of Control or as requested by the General Assembly; conducts analyses as required by any state agency; tests ticks for the Lyme disease agent upon request of a state or municipal health officer or for scientific research purposes; oversees official control, suppression or extermination of insects or diseases which are or threaten to become serious pests of plants; inspects for diseases of honey bees and registers beekeepers; surveys towns for gypsy moths; inspects and certifies nurseries and registers dealers of nursery stock; and reports findings verbally or by correspondence, lectures or published matter.

Through reporting the findings of research, analyses and services to citizens, small and large businesses, municipalities, state departments and the scientific community, the Station provides timely answers to both routine and difficult but important agricultural, forestry, environmental, consumer protection, environmental health, or homeowner questions.

Public Service

The Station serves citizens, large and small businesses, municipalities, and the scientific community within its area of expertise. Citizens can bring or mail in samples or call with questions to New Haven or Windsor. Station scientists make farm or house calls when difficult or unique problems arise. State agencies send specific samples for appropriate, chemical, biological or microscopic testing.

Tests are often complicated, requiring special equipment and skills unavailable to the public and public agencies elsewhere in Connecticut. Techniques are improved as circumstances warrant, and new testing procedures are investigated as new types of samples are received. The scientific research involves identifying a problem, investigating of the status of knowledge on the problem, and designing experiments that will elicit new knowledge that will solve the problem or enhance Connecticut's economy or well being.

During a week in May, the Experiment Station's participated in Farm-City Week, an annual effort of a committee of educators and agricultural organizations to show schoolchildren about farms. Agricultural and natural resource organizations hold meetings in the Station's Donald F. Jones Auditorium in New Haven and Gordon S. Taylor Conference Room in Windsor. The Valley Laboratory holds a meeting for tobacco growers in the spring and summertime open houses for nurserymen and Christmas tree growers. The Station's annual Plant Science Day in August attracted over 1500 persons to Lockwood Farm; about 150 persons attended "Plant Science Day in the Spring" program; and about 150 attended "Agricultural Chemistry Night" in the

fall. The Station had a display in the Connecticut Building of the "Big E", co-sponsored a Conservation Fair with the New Haven County Soil and Water District which was attended by 600 persons, participated in the Agriculture Department sponsored "Ag Expo", and in the annual "Ag Day at the Capitol" sponsored by the Connecticut Agricultural Information Council.

The Station also provides speakers to agricultural and environmental organizations and community groups upon request. Groups of motivated school and college students often receive presentations on the Station's work during visits to laboratories or during talks at their schools.

The Experiment Station installed a viewing garden at the Valley Laboratory to help persons seeking certification from the Connecticut Nurserymen's Association to identify plants and to introduce Connecticut-grown trees, shrubs, and perennials to Connecticut citizens.

Improvements/Achievements 1998-99

The Experiment Station continued to add to the publications and other information available to citizens on the World Wide Web. The address is: www.state.ct.us/caes.

The Experiment Station extended its effort to rear and release adult lady beetle parasites of the hemlock woolly adelgid in hemlock forests in Connecticut to include assistance in releasing and evaluating the effects of the ladybird beetle in other eastern states seeking to control the adelgid. Over 100,000 of the lady beetles have been reared by the Station. The beetles survived a low temperature of -16.7 degree Celsius. Adelgid numbers have been reduced on both release trees and adjacent trees.

Joining with the Quinnipiac Valley Health District and Environment and Human Health, Inc., the Experiment Station conducted a study of groundwater in the town of Woodbridge. Water from 57 wells was tested for 19 lawn care pesticides. Residues of seven different pesticides found in six of the wells were below regulatory action levels. No pesticides were detected in the other wells.

Testing of one of 203 samples of food products for pesticide residues in cooperation with the Department of Consumer Protection led to a voluntary recall by a distributor. Analysis of an imported can of peas revealed a violative residue of vinclozodin.

A potential new pest of apple, the green pug, has been found in Connecticut. Its caterpillars have been found by Station entomologists to feed on foliage of 14 species of apples and crabapples, three species of pears, and shadbush. Adult moths were reared from larvae collected in Litchfield, Middlesex, New Haven, and Tolland Counties.

In late September 1998, a citizen brought an arborvitae branch to the Experiment Station for identification of an insect on it. The insect was found to be the smaller Japanese cedar longhorn beetle, which was previously only reported in its native Asia and in an introduced population in North Carolina. Unlike the behavior in other locations where it attacks only dead or dying trees, the smaller Japanese cedar longhorn beetle was found in Connecticut to be infesting live, otherwise healthy branches. Appeals to the public and the nursery industry for assistance helped locate the beetle in East Haven, Greenwich, Hamden, Middletown, Milford, North Haven, Norwalk, Stamford, and Wallingford. Research was initiated to determine methods of control.

E. coli O157:H7, a pathogenic bacterium, has been found in cider in several places, including Connecticut. Research at the Station involving Golden Delicious, Red Delicious, McIntosh, Macoun, and Melrose apples has shown that the pathogen grows in bruised apple tissue of four of the varieties. The fifth variety, McIntosh, had an inhibitory effect. Tests of deer feces from five locations, including four near orchards, did not detect E. coli O157:H7 in any of the more than 200 samples.

Studies of the possibility of growing wine grapes inland in the Connecticut River Valley in addition to the usual coastal areas identified several cultivars that produced good yields. The optimum harvest was earlier at the test site in Windsor than at locations closer to the shoreline.

Studies of a biological control for the chestnut blight and breeding of trees for both wood and nuts continue to yield encouraging results. The Experiment Station has been designated the registrar for cultivars of chestnut by the International Society for Horticultural Science.

The Station began a second year of collecting and testing mosquitoes for eastern equine encephalitis virus (EEE) in cooperation with the Departments of Environmental Protection and Public Health Services. An increase in EEE activity was shown by isolations of virus from eight samples from Chester, Newtown, Ridgefield, and Voluntown. In addition, EEE was isolated from the brain of a donkey that died October 16 in Canterbury. Other virus isolations were:

Highlands J (23), Cache Valley (22), and Jamestown Canyon (6).

After the blue mold fungus, a serious disease of tobacco of the types grown in the Connecticut Valley, was isolated by a Station scientist on June 16, 1998, testing revealed it was highly resistant to the fungicide metalaxyl. The weather was conducive to spread of the fungus and damage was severe. Screening of other registered fungicides revealed the most effective one and the Station worked to obtain an emergency EPA registration for its use. The Station collected data on the outbreak and passed it on to farmers through a hotline and the internet.

In studies of detoxification of waste water using chemical oxidation Station scientists discovered a new highly reactive intermediate (derived from the ferric iron and hydrogen peroxide starting reagents) that participates in the degradation reactions; and they found that certain organic compounds (quinones) accelerate degradation reactions by shuttling electrons back to ferric iron.

Advances in plant biotechnology tomorrow rely on an understanding of plant genetics and biochemistry today. Station scientists are studying the basic processes of growing plants. They have identified genes involved in leaf development and light capture and are trying to use the knowledge to increase the growing efficiency of plants. In addition, genes involved in nitrogen transport have been identified. Those might be manipulated to increase the efficiency of fertilizer usage and therefore reduce the amount needed to grow high-yielding and healthy plants.

Reducing Waste

The Experiment Station joined with other state agencies in the Natural Gas Purchasing Initiative of the Office of Policy and Management. A savings of 20 percent in natural gas costs has been realized at the New Haven facility.

Installation of new heating controls and thermostats has led to more even and controlled heating and cost savings.

Hiring of a private contractor to clean and maintain the Valley Laboratory at Windsor has improved efficiency as well as saved the state money.

A new roof on the Slate Building, which included added insulation, helps reduce the cost of heating.

An anticipated savings of 50 percent of operating cost is expected from replacement of an old hot-water heating system with a more modern one in the Slate Building.

Staff from Lockwood Farm assist the Maintenance Department when needed and maintain the grounds and perform snowplowing.

Personnel and resources are shared within departments to absorb the peaks and valleys of seasonal workloads. For example, the Station employs research assistants for help with summer field work. Secretarial help is shared among departments. Some vehicles needed during the peak summer season are returned to the DAS motor pool in the fall to minimize vehicle costs.

Most computer setup, maintenance, and software development is handled by existing staff, avoiding costs of consultants and reducing the amount of money that would otherwise be spent on service.

A new gasoline island installed at the main laboratories in New Haven Station has been supplying the gasoline needs of many state vehicles in the New Haven area in addition to the Station's own since the closing of the DOT Pond Lily Garage in 1997.

The Experiment Station donated tons of fruits and vegetables grown in experiments on its farms in Hamden and Windsor to shelters and food programs for the poor in the New Haven, Hartford, and Waterbury areas. The Station has also assisted community gardens in New Haven.

Strategic Planning

The Director reviews specific goals for the coming year with department heads, who establish specific research objectives with scientists. The director meets frequently with each department head to discuss ongoing research. Goals and objectives include providing accurate and timely analyses for citizens and state agencies and to make and report important scientific discoveries. The Station increasingly relies on computers and communications technologies to help improve services to the public. Interaction with departments and citizens who bring samples or problems to the Experiment Station helps reveal new matters requiring attention. Studies of the aging buildings in New Haven have led to the design of an addition and proposed renovation of the Johnson Building in New Haven. Construction is anticipated to get underway in Fall, 1999. Other recommendations for

improvements to the infrastructure are to be implemented. The Station's Board of Control meets quarterly to review policies and progress.

Information Reported as Required by State Statute

The Experiment Station performed chemical, seed, soil, fertilizer, pesticide, animal feed, and tick tests; answered inquiries, conducted plant, nursery, and bee inspections and surveyed for the gypsy moth as listed below.

Service or Test Number	1998-99
Inquiries answered (all departments)	27,572
Field visits and diagnostic tests	1,414
Soil Tests Completed	
New Haven and Windsor	11,629
Samples Tested	
Department of Agriculture	419
Department of Consumer Protection	656
Department of Environmental Protection	287
Department of Revenue Services	132
Station Departments	132
University of Connecticut	7
Seed Samples Tested (vegetable, lawn, field crop)	343
Nursery and Seed Inspections	
Greenhouse plants	7,836
Nursery stock containers and bare root	92,354
Groundcovers (flats and pots)	11,275
Perennial plants	156,447
Nurseries inspected	340
Nursery inspections	775
Tobacco (bales, boxes, and cartons)	77,580
Homeowner plants moving out of state	1,245
Seed (packages)	4,929
Acres of nursery stock inspected	9,333
Gypsy Moth Survey	
Acres surveyed for gypsy moth by air	1.8 million acres
Acres surveyed for gypsy moth on ground	13,504 acres
Bee Inspection	
Beekeepers registered	553
Bees examined for mites	500
Beehives examined for foulbrood	1,397
Tick Identification and Testing	
Ticks identified	5,740
Ticks tested for spirochetes	4,677
Ticks infected with spirochetes	1,185
Mosquito Testing	
Mosquitoes trapped, identified, and tested for EEE	66,383

The Experiment Station reaffirms its continuing policy of commitment to affirmative action and equal opportunity employment as immediate and necessary objectives and relies solely on merit and accomplishment in all aspects of the employment process. A research internship program to hire and train minority college students with a strong interest in science was continued. In addition, the Station participated in an effort to provide two inner-city high school minority students, as part of a work/study program, with an opportunity to work in the Business Office and Library. Two minority Postdoctoral Research Scientists were hired to assist scientists on specialized projects. The Experiment Station's affirmative action plan was filed on schedule and was approved by the Commission on Human Rights and Opportunities.

Department of Agriculture

At a Glance

SHIRLEY FERRIS, Commissioner

Established - 1971

Statutory authority - CGS Sec. 22-1

**Central office - 765 Asylum Avenue,
Hartford, CT 06105**

**Average number of full-time
employees - 70**

**Recurring operating
expenses- \$4,204,963**

**Organizational structure - Administra-
tive Services, Regulation and Inspection,
Agricultural Development and Resource
Preservation, Aquaculture, and Re-
gional Market**

CONNECTICUT
GROWN



Mission

The mission of the Department of Agriculture is to foster a healthy economic, environmental and social climate for agriculture by developing, promoting and regulating agricultural businesses; protecting agricultural and aquacultural resources; enforcing laws pertaining to domestic animals; and promoting an understanding among the state's citizens of the diversity of Connecticut's agriculture, its cultural heritage and its contribution to the state's economy.

Statutory Responsibility

In accordance with Section 22-6 the Bureau of Administrative Services includes the Commissioner's Office, the Business Office, and the Personnel Office. It provides information, policy, fiscal, and support services necessary for the development and implementation of the department's programs. The Administrative Office also produces the department's home page (www.state.ct.us/doag) and other means of getting information to agriculturalists and the public.

Statutory reference for the Bureau of Aquaculture is Connecticut General Statutes Section 26-192 through 26-294. The bureau administers the Shellfish Sanitation program to assure safe shellfishing areas for commercial and recreational harvesting, and to maintain certification and compliance with the US Food and Drug Administration's National Shellfish Sanitation Program. The aquaculture industry is inspected and licensed by the bureau; laboratory and diagnostic services provided by the bureau assure product safety and quality. The bureau leases submerged land to the aquaculture industry for shellfish culture.

Statutory responsibility for the Bureau of Agricultural Development and Resource Preservation can be found in the following sections of the Connecticut General Statutes:

Sec. 22-6e, the gardening or agricultural use of vacant public land program encourages the use of vacant public land owned by the State of Connecticut for gardening or agricultural purposes.

Sec. 22-6f, the Woman, Infant and Children/Farmers Market program, authorizes the establishment of guidelines and compliance orders for fresh Connecticut produce to be sold to those individuals who meet certain criteria of need.

Sec. 22-27 creates the *Connecticut Agricultural Weekly Report* which lists market conditions and prices, supply and demand for farm products, and their movement through commercial channels. Producers use this information as a guide for pricing products.

Under Sec. 22-28, Sec. 22-38, and Sec. 22-38a, the Connecticut Grown program/Quality Seal program, staff members determine or design brands for use on labels for farm products to establish quality and condition and to determine origin of product.

Sec. 22-31 and Sec. 22-33 cover the inspection and certification of farm products to establish official grades or standards and certify the quality and condition of those products.

Sec. 22-50 through Sec. 22-54 create the Apple Marketing Order which provides for the pro-

motion, regulation, maintenance and development of new and larger markets for Connecticut apple growers.

Sec. 12-107a-Sec. 12-107e, Sec. 12-504a-Sec. 12-504h, Sec. 12-2b, and Sec. 12-63 refer to Public Act 490 which assesses farm, forest and open space land at its use value rather than its market value. A re-evaluation occurs every five years to protect the integrity of this very important program. The next re-evaluation will take place in the year 2000.

Sec. 22-26aa is the statute for the state program for the preservation of agricultural land. The purchase of development rights protects the state's fertile soils. The goal of the program, established in 1978, is to preserve 130,000 acres containing 85,000 acres of prime farmland.

Sec. 22-6c establishes the Environmental Assistance Program which allows the state to cost-share with a farmer and the federal government for compliance with an approved Farm Waste Management Plan.

Sec. 22-6 requires the Commissioner's review of any proposed capital project which may convert farmlands or shellfish grounds to a nonagricultural use and recommend reasonable alternatives.

The statutory responsibilities for the Bureau of Regulation and Inspection are found in the following Connecticut General Statutes Chapters:

The Agricultural Commodities Division, under Chapters 424, 427a and 428a, is responsible for the regulation, inspection and sampling of feed, seed and fertilizer at mills, wholesalers and retailers; controlled atmosphere (CA) storage of fruit at storage facilities; eggs for the USDA Shell Egg Surveillance program at the point of production and/or packing; and USDA poultry products utilized in school lunch programs.

The Dairy and Animal Health Division, under Chapters 430, 431, 433, 434, 437 and 438a, regulates milk production, processing and distribution to provide the public with a safe supply of milk and milk products. It also monitors the production of livestock in order to prevent and/or control animal diseases. Samples of milk and milk products are tested for bacteria, antibiotics and butterfat content on a monthly basis at the premises of all licensed milk processors. In addition, stores and schools are inspected to ensure proper milk storage and handling practices. The importation of healthy livestock, poultry, and pet birds are regulated and health certificates are issued for livestock and poultry destined for export. Intensive poultry farms must be registered with the bureau and are regulated and inspected to maintain accepted environmental management practices.

The Office of the State Veterinarian, under Sec. 22-26f, is also part of this bureau and acts as the official epidemiologist for animal and poultry diseases. It coordinates state and federal governmental agencies and livestock producers to control diseases and oversees and guides the development and management of disease control programs performed by the agency.

The bureau inspects livestock and poultry for disease at 28 major and local fairs during the summer, on a cost-sharing basis with the Association of Connecticut Fairs, to prevent the spread of disease.

The Animal Control Division, under Chapter 435, is responsible for the investigation of injury, property damage and nuisance caused by dogs. The bureau staff works with state and local authorities in dealing with rabid and suspect rabid animals, verifies rabies vaccination status for dogs and cats, and provides transportation and handling of specimens for testing. Since 1991, more than 4,173 cases of rabies have been confirmed in the state; 315 cases were confirmed FY 1998-1999.

All state licensed commercial and private kennels, pet shops, dog grooming facilities, dog training facilities and municipal dog pounds are inspected and regulated. Technical advice is provided to insure conformance with regulations. Dog damage claims are investigated and appraised. Training and counseling is provided for municipal animal control officers, and local officials are assisted in dog licensing procedures. Investigations of cruelty to domestic animals including pets, along with investigations of dog-related incidents, including nuisance, roaming, and licensing violations are part of this division's responsibility.

The Animal Population Control Program, (APCP), Chapter 436a, implemented on May 22, 1995, addresses the problem of pet overpopulation, the cost and burden to municipalities of unwanted dogs and cats, and the spread of rabies and other diseases through population control and immunizations.

After a one-year suspension due to funding limitations, the APCP was reactivated on Octo-

ber 17, 1997. From that date until December 31, 1998, some 8,873 pets were adopted. So far 3,542 dogs and 610 cats were sterilized, and 4,058 rabies and 4,395 distemper combination vaccinations were issued. The average sterilization compliance ratio for dogs was 62 percent and 67 percent for cats.

The Agricultural Technology Program, under Connecticut General Statutes 22-26h, is the only government program that has been statutorily charged with providing focused support of agricultural and aquacultural technology that, when applied, will result in economic or social benefit for the State of Connecticut.

The staff works with sister agencies, quasi-state agencies, and high-tech industry associations (Connecticut Academy of Science and Engineering (CASE), Connecticut technology, Connecticut United for Research Excellence), and university personnel (Yale and UConn) to facilitate growth of new business in this area.

Sec.22-62 through Sec.22-78a concern the Regional Market and the maintenance and improvement of the Regional Market system to ensure that agriculture products pass through the wholesale marketing systems in an efficient manner for the benefit and general welfare of the public.

Public Service

The Department of Agriculture continues efforts to streamline the licensing program; currently turnaround time is three days.

The agency has increased its capacity to inform the public through the Internet; it continues programs of educational seminar for producers designed to increase profitability.

The agency interceded for agriculturalists with other agencies, and worked with legislators to provide for the needs of the state's citizens in regard to animal, plant, marine and soil agricultural resources.

The programs provided by the Bureau of Aquaculture have resulted in significant economic growth of Connecticut's oyster industry. More than \$40 million in farm gate sales are earned annually, with more than 400 jobs provided directly by the oyster industry. More than 53,000 acres of oyster farms are now under cultivation in Connecticut's coastal waters. Other products include clams, scallops, trout and bass. Economic multipliers indicate Connecticut's aquaculture business contributes more than \$200 million to the state's economy annually. The outlook for continued industry growth and export opportunities is very promising. The cash value of Connecticut oysters is the highest in the nation.

Program activities of the Bureau of Agricultural Development and Resource Preservation offer a variety of marketing strategies. The symbol of Connecticut agriculture — the "Connecticut Grown" logo — is an integral part of all program activities.

The Connecticut Farmers' Market Woman, Infant and Children program is administered by the department and funded by the State and the United States Department of Agriculture. The purpose of this program is to 1) enable persons under the Woman, Infant and Children (WIC) program to purchase nutritious foods; and 2) expand markets in which Connecticut producers may sell their products. Under the WIC program, eligible participants receive vouchers redeemable at certified farmers' markets for "Connecticut Grown" fruits and vegetables. There are 182 producers serving more than 51,963 WIC participants (44,893 WIC and 7,070 Senior) at 53 certified WIC Farmers' Markets in Connecticut. The bureau also administers the Farmers' Markets Senior Nutrition program serving approximately 7,070 senior citizen participants.

The Export Development program works with 140 Connecticut companies which together export more than \$100 million in agricultural products worldwide. Companies participate in the "Harvest New England" program and several domestic and international export trade shows. This has resulted in several companies expanding their world markets, and, in turn, expanded production and increased job opportunities in Connecticut.

The *Connecticut Weekly Agricultural Report*, a weekly publication, lists commodity pricing reports which farmers use as a baseline when dealing with buyers. It includes a popular classified ad section and an editorial column, "Notes from the Department...", which provides timely reports on department programs and services provided to the public. In fiscal year 1998-1999, there were 1,928 subscribers. Subscription and advertisement fees paid for the *Connecticut Weekly Agricultural Report* totaled \$30,299.11, which is more than publication and circulation costs.

Federal-state-local farmer partnerships preserve the state's best and most productive agri-

cultural lands while addressing estate planning issues and providing working capital to expand or diversify farm operations.

In this program, ownership of the land remains with the landowner, while a permanent restrictive use deed covenant is placed on the property. The land remains on the local tax rolls.

The Environmental Assistance Program, another federal-state-local farmer partnership program, allows farmers to meet the requirements of a Farm Resource Management Plan, which protects the environment.

The "Public Act 490" program, which assesses land at use rather than market value, enables producers to retain farmland. Coupled with the Farmland Preservation program, the state's rural working landscape can be protected while the state is provided with local accessibility to fresh food.

The Bureau of Regulation and Inspection protects public health and safety through inspection and regulation of farms, processing plants, and storage facilities. The bureau also controls and prevents animal diseases to guard against transmission to humans directly or by consuming animal products and to prevent economic loss to livestock owners and producers.

It enforces animal control and cruelty laws to prevent nuisance and damage to people, animals, and property by dogs and other animals not properly managed by their owners. The bureau enforces agricultural commodity quality and composition standards through licensing, inspecting, and testing agricultural commodities for composition, quality, and label compliance. It also monitors and regulates environmental impact factors of agricultural production.

Under the Animal Population Control Program (APCP), adopters pay a \$45 program deposit for any unspayed or unneutered animal and \$5 municipal adoption fee (\$50 total). The APCP will pay for two pre-surgical vaccinations and the sterilization of that pet if performed within 30 days. (The veterinarian may grant a medical extension (over 30 days) for pets that are too young, old, or sick.)

After the animal has been spayed or neutered, the adopter may return the validated certificate to the APCP to receive a \$20 refund.

The primary source of revenue originates from a \$6 surcharge placed on all unsterilized dog licenses (approximately \$250,000). Dog license fees and the surcharge are collected by each municipality and forwarded to the Department of Agriculture on an annual basis. Also from the purchase of a "Caring for Pets" commemorative license plate, introduced in November 1998.

The Regional Market is a statutorily authorized facility located in Hartford and provides a central location for producers and wholesalers to sell food and other agricultural products. The facility comprises 32 acres and contains over 185,386 square feet of warehouse space with railroad accessibility, and 144 open air farmer stalls. It is the largest facility of its kind, strategically located between the Boston and New York markets. Traffic counts show 200,000 consumers purchase goods at the Regional Market during a calendar year. In peak season, 9,000 consumers visit the Saturday morning Farmers' Market at this location.

The Northeast Dairy Compact is a formal agreement enacted on July 1, 1997 among the six New England states and approved by Congress. A Compact Commission, which includes farmers, consumer advocates, processors and retailers, regulates the region's farm price for milk. The Commission has been successful in its efforts to stabilize farm prices, thereby maintaining family dairy farms while assuring consumers of a local supply of pure and wholesome milk at a stable price.

The Compact provides for a reimbursement of milk price increases, by operation of the Compact, for Women, Infants and Children (WIC) programs and for school food authorities for school milk programs.

Improvements/Achievements 1998-99

Commissioner's Office

Agricultural Technology Unit

- Encouraged business/research partnering in order to expand applied agricultural technology and biotechnology research.
- Worked toward a pilot program for recycling agricultural plastics with the dairy and horticultural industry.
- Supported small and medium-sized farms, biotechnology firms, and communities to encourage business and economic growth.

- Assisted educational agencies to implement agricultural and bioscience education for all school children.

Administrative Office

- Accomplished annual review of business plan; developed five year plan for program development.
- Published, in-house, an annual report featuring color photos.
- Participated in and assisted Compact Commission in meeting its objective of enhancing the farmgate price while protecting consumers from cost increases.
- Initiated work toward creation of an Agriculture Cluster.
- Initiated program for year-round food production incorporating advanced greenhouse technology.
- Initiated FarmLink program to provide pass through from retiring farmers to entering farmers.
- Participated in regional, national and international governmental economic development policy discussions, including trade issues.
- Developed a Farm Enhancement Program designed to assure viability of agricultural businesses.

Business Office

Worked with sister agencies to increase efficiency:

- Automated Budget System (OPM)
- Paperless Processing (Comptroller)
- Year 2000 Compliance (DOIT)
- H.E.L.P. (OPM)
- Electronic Deposits (Treasurer)
- Electronic Transfer of funds (Treasurer and federal agencies)
- Update payroll system (Comptroller)
- Automated Personnel System (State Personnel)

Issued licenses for:

- 5,154 feed products, and 2,288 fertilizer products
- 420 feed product companies
- 208 fertilizer product companies
- 75 seed labelers
- 3,235 milk dealers and dairy stores
- 248 dairy farms
- 723 pet shops, commercial kennels, training and grooming facilities
- 219 miscellaneous facilities

Bureau of Aquaculture

- Maintained certification from the Japanese Ministry of Health for the shipping of live oysters to Japan (Connecticut is the only state on the east coast to receive such certification)
- Continued a partnership program with the City of Bridgeport, the United Illuminating Company, and the oyster industry for the long term management and restoration of the public seed oyster beds
- Planted over 80,000 bushels of oyster shells to improve and restore oyster habitat
- Continued development of a regional aquatic animal health testing program in collaboration with the University of Connecticut and the US Department of Agriculture (program includes monitoring shellfish health in Long Island Sound and the development of diagnostic gene-probe techniques)
- Completed a comprehensive statewide strategic plan, through the Interagency Aquaculture Coordinating Committee, to encourage development of aquaculture; legislation was enacted to implement major plan recommendations
- Carried out a promotion and marketing campaign (through the Connecticut Seafood Council within the Department of Agriculture) to create awareness of the benefits of

Connecticut grown and harvested seafood

- Initiated a seafood-aquaculture industry cluster to further business development

Bureau of Agricultural Development and Resource Preservation

- Nine new farmers' markets developed, eight new farmers participating in farmers' market program; total of 61 farmers' markets statewide
- Over 85 Connecticut farms participated in the Agricultural Directional Sign Program, an increase of 21 percent in the last year
- Increase in domestic and export sales of companies attending Food Market Institute trade show (Chicago), the Eastern Perishable Products Show (EPPA), the Caribbean Show (Miami), Fancy Food Show (New York and Chicago), and the Boston Seafood Show
- Increased participation at Connecticut fairs (Durham, Woodstock, Wolcott and Bethlehem) to promote agricultural commodities
- Facilitate sale of Connecticut Grown products to chefs and restaurants
- Third annual Ag Expo held; 12,000 people attended
- Received and evaluated over 50 new applications to the Farmland Preservation Program
- Received \$2 million cost-sharing (reimbursement) grant under the federal Farmland Protection Program
- Assisted in the funding and implementation of over 30 farm waste management projects and plans
- Conducted 20 site reviews regarding their impact to agriculture in the state
- Assisted in the establishment of several municipal farmland preservation programs.
- Conducted 75 compliance inspections

Bureau of Regulation and Inspection

The Department of Agriculture is the administrative agency for the Connecticut Food Policy Council. The Council achieved a number of accomplishments including the publishing of "Making Room at the Table," a guide to community food security in Connecticut and hosting the "Save the Land" conference which was devoted to preserving Connecticut's farms and farmland. As charged by the legislature, the Council monitored and assessed proposed legislation impacting food security issues and advised the Governor of the Council's position on such legislation.

- Participated in meetings of the Northeast Dairy Compact Commission and provided assistance to the Commission
- Conducted 417 feed, seed, and fertilizer inspections
- Conducted 29 USDA inspections and 36 Controlled Atmosphere (CA) inspections
- Collected 803 feed, seed, and fertilizer samples
- Registered 11 Controlled Atmosphere rooms
- Inspected 252 dairy farms
- Performed 1,972 farm and plant inspections
- Performed 317 re-inspections for enforcement action
- Inspected 1,087 dairy stores
- Tested 16,508 livestock, and 67,102 poultry for infectious diseases
- Collected 29,337 milk samples from cows and goats for mastitis testing
- Collected 956 environmental cultures of poultry farms for salmonella e testing
- Inspected 304 pet shops, 427 grooming facilities, and 161 dog pounds
- Inspected 280 commercial kennels, 76 training facilities
- Investigated 2,457 complaints/incidences

Regional Market

- Developed and implemented a public/private renovation campaign aimed toward modernization of the refrigerated facilities within the region market

Reducing Waste

- Completed additional cross-training of dairy and livestock inspectors to accomplish

feed, seed and fertilizer inspection and sampling responsibilities and provide agricultural waste composting assistance to farmers.

- Continued programs to keep all staff abreast of total agency work. This effort reduces misdirected referral calls, saving constituent and staff time.
- Established agency library to share periodicals, newsletters and subscriptions to cut subscription costs.
- Efficiency and cost effectiveness are accomplished by the department functioning as the lead agency for shellfish and aquaculture matters. Environmental and sampling data collected by the Bureau of Aquaculture are provided to federal, state and municipal agencies to insure maximum usefulness of the information. Savings are estimated at \$500,000.
- The Agricultural Technology Unit work was accomplished by one part-time person, working 65 percent of a full-time week; subscription and materials shared through agency library.
- Subscriptions and mailings were reduced by receiving materials via the Internet.

Strategic Planning

The Department of Agriculture has two core functions: 1) regulation and inspection, and 2) promotion, which includes assisting in the development of new business or expanding or diversifying established businesses.

Agency goals are: 1) to assist producers to provide a local, abundant, safe and wholesome food supply for the citizens of the state; 2) to create a humane and safe environment for domestic animals in the state, and to protect citizens from animal-related diseases; 3) to create new job opportunities by bringing to the industry advances in technology and creating new markets for products; and 4) to promote within the public sector an understanding of the contribution the agricultural industry makes to the state.

The department's objectives are: 1) to enforce regulations that safeguard human safety and animal welfare as it relates to agriculture; 2) to continually redefine the department to respond to the needs of the state's citizens; and, 3) to propagate consideration of the agricultural industry in state economic development programs and initiatives.

Strategies include:

- Prioritize agency work and train staff to most adequately fulfill constituent need
- Build an understanding of the agricultural industry's contribution to the state's economy and quality of life
- Develop private/public partnerships

Potential Savings:

- Explore expanded partnering with other agencies to find and eliminate potential duplication
- Reevaluate programs to most cost-efficiently fulfill constituents' needs
- Further computerization of record keeping
- Further cross-training field staff to maximize efficiency and minimize expenses
- Seek assistance from commodity associations for trade shows, expositions, and promotional material to fund programs, saving state dollars
- Participate in pilot telecommuting program
- Continue to utilize part-time and temporary workers
- Expand procurement of grant programs that support part-time workers
- Utilize support of interns involved in UConn's independent study program to provide field experience to agriculture students in return for earned credit
- Develop a 10-year capital improvement budget that is fiscally responsible and sustains the continued operation of the Regional Market on a nonprofit, self liquidating basis while attaining the goal of a state-of-the-art modernized produce distribution center

Information Reported as Required by State Statute

During the 1998-1999 fiscal year, three permanent full-time employees (two females, one male) were hired by the Department of Agriculture and the agency promoted eight individuals (five females, three males). At the end of the fiscal year, the department employed 70 full-time

permanent employees, 43 percent of whom were women and minority group members. This includes the Connecticut Marketing Authority

The agency's Affirmative Action Plan was approved by the Commission on Human Rights and Opportunities.

The Agricultural Technology Unit distributed a report to the Commerce and Environment Committees in April 1999. It included the current findings that breakthroughs continued in animal and plant biotechnology globally; college enrollment in agriculture increased nationally; that state's agriculturalists and local economic development officials inquired about agricultural technology; and the shortage of seed money for small business continued; and recommendations to: remain committed to the UConn Agricultural Biotechnology and Pfizer buildings, that will offer bioscience training and incubator space; continue to improve lines of communication between the agricultural community and legislature, financial institutions and technology groups about agricultural technology; and remain committed to these basic premises for five to 10 years, to realistically allow research and development to become commercially viable products.

A biennial status report of the Preservation of Agricultural Lands program was prepared for the governor and the general assembly. A copy of the report is available.



Connecticut Commission on the Arts

At a Glance

JOHN OSTROUT, Executive Director
Established - 1965

Statutory authority - CGS Chapter 181

Central office - 755 Main Street,

**1 Financial Plaza,
Hartford, CT 06103**

Number of Employees - 13

Recurring operating expenses - \$715,060

Organizational structure - Appointed Commission members and professional staff

Mission

Recognizing the essential value of the arts and artists in the cultural educational, social, and economic vitality of Connecticut, the Connecticut Commission on the Arts shall support artistic excellence and foster cultural development through the arts; and increase public understanding of, participation in, and support for the arts in Connecticut.



Connecticut
Commission on the Arts

Statutory Responsibility

The Commission on the Arts is charged with developing and strengthening the nonprofit arts in Connecticut, a growing industry with an annual economic impact of \$1.3 billion dollars and which employs over 30,000 people. The direct beneficiaries of the agency's programs and services are artists and nonprofit arts, community and educational organizations. However, the work of the Commission ultimately benefits all state citizens by contributing to an improved quality of life, helping develop the creative skills essential to our future workforce, reinvigorating our cities and strengthening our economy.

The Commission on the Arts is required by statute to administer a state public art collection. The Commission is also charged with administering the *Connecticut Arts Endowment Fund* established by the Legislature to assist in the long-term stabilization of the state's arts industry. Additionally, the agency is mandated to appoint a State Poet Laureate (five-year term) and annually appoint a State Troubadour.

The agency is governed by a Commission comprised of citizens from throughout Connecticut appointed by the Governor, the President Pro Tempore and the Minority Leader of the Sen-

ate, and the Speaker and the Minority Leader of the House. Connecticut residents serving on the National Council for the Arts are automatic legislative appointments. Chaired by Michael P. Price, Commission appointees in 1998-99 included: Frances T. Clark, Leonard Cohen, Samuel D'Ambruoso, Barbara Davitt, James F. Donnelly, Louise L. DeMars, Douglas C. Evans, Robert H. Gray, Ronnie Heyman, Peter D. Hirschl, James Kelley Sr., Amelia Mustone, Vita Muir, Paul Pozzi, Ann Y. Smith, Lynda B. Smith, Andy Thibault, Robyne Watkin, Vivien White, Mitzi Yates-Waterhouse, and Ted Yudain.

Public Service

The Commission on the Arts is committed to providing exceptional service to Connecticut's arts community and to the public. The agency fosters the development of the state's cultural resources through matching funds grants programs for nonprofit organizations, technical assistance programs and a variety of services which directly benefit its constituents.

The Commission's location on Main Street in Hartford provides high visibility for the agency and convenient public access. It prominently features an attractive art gallery which showcases the works of contemporary Connecticut visual artists who have received Commission Fellowships. The agency's Visual Arts Slide Bank, which houses photographic slides of artwork by over 2,300 artists, serves as a valuable resource for persons wishing to exhibit, commission or purchase the work of visual artists.

Its present location has enabled the Commission to be an active participant in Hartford's Arts and Entertainment District. The agency offers public programming in its gallery every month as part of the city's "First Thursday" promotion designed to encourage visitors to enjoy Hartford's wealth of cultural attractions and promote downtown economic vitality.

To enable more Connecticut citizens to experience the arts, the Commission maintains a roster of over 120 outstanding Performing Artists and ensembles and offers funding to nonprofit organizations and schools to present events featuring these artists. Similarly, organizations may receive support to engage the services of Master Teaching Artists, culturally-diverse artists who have been specially trained to work effectively as classroom residents or as curriculum/planning consultants.

In January, 1999, the Commission appointed Coventry resident, Hugh Blumenfeld, to a one-year term as Connecticut State Troubadour. Leo Connellan, of Hanover, continues to serve his five-year term as State Poet Laureate. These artists have extensive contact with the public during their appointed terms.

Connecticut Volunteer Lawyers for the Arts, a cooperative project of the Commission and a Hartford-based law firm, provides a variety of free legal services to qualified non-profit arts organizations and artists.

The Commission's Visual Arts Showcases at Bradley Airport features the works of Connecticut artists in changing exhibitions. Located at the entrances to Terminal A, the showcases are viewed by thousands of airport visitors each month.

The Commission's comprehensive website on the Internet offers instant public access to information on agency programs and services, funding opportunities and the arts in Connecticut. This year the site was expanded to include grant application forms, a virtual art gallery and an online directory of members of the agency's performing and teaching artist rosters. The Commission also produces and provides free of charge over a dozen publications including a quarterly bulletin, a directory of artists, a statewide newsletter, brochures on legal matters pertaining to the arts, and several other handbooks and resource guides.

Improvements/Achievements 1998-99

Commission on the Arts programs continued to successfully aid the development of Connecticut's arts industry, facilitate the creation and presentation of artists' work, expand the accessibility of the arts in underserved regions of the state and raise the public's awareness of the arts. In fiscal year 1998-99:

- The Organization Challenge Grant Program provided matching grants to 117 Connecticut non-profit organizations to conduct cultural programming aimed at fostering artistic excellence and development, expanding public participation in the arts and deepening the role of the arts in education.
- The Arts Partnerships for Stronger Communities initiative awarded matching funds

for 19 cultural organizations to develop collaborative projects with local organizations aimed at enriching community life. Arts groups partnered with social service agencies, civic clubs, tourism councils, schools and businesses to jointly produce projects to stimulate tourism, revitalize neighborhoods, address social issues and enhance student learning.

- Artist Fellowships were awarded to 24 of the state's finest artists working in the disciplines of fiction, poetry, playwriting, choreography, music composition and media arts. Funds are used to support artists' career development and enable them to devote substantial time to the creation of new works.
- Arts Presentation Grants, designed to broaden access to the arts, were awarded to 222 nonprofit organizations which sponsored over 800 performances and workshops by artists in communities across Connecticut.
- The Commission's Urban Artists Initiative, which provides ethnically diverse artists and organizations with the tools to enrich the cultural life of their communities, doubled in size and scope by expanding to four additional cities. Currently active in Bridgeport, Bristol, Hartford, New Britain, New Haven, Norwalk, Stamford and Waterbury, the program helps people develop and refine skills that will enhance their careers or facilitate the growth of their organizations. More than 80 participants attended thirty professional training sessions which were also offered to the public. The fourth annual UAI conference, Working Artists: A Community's Hope, was presented in New Haven in June in conjunction with the Fifth New England Artists Trust Congress.
- The Commission's HOT Schools program, an innovative educational approach that creates child-centered schools through the arts, also doubled in size, bringing the total number of participating school districts to 24. The program has gained national recognition and now serves as a model for school districts across the country. In July, over 200 educators attended a week-long Summer Institute sponsored by the Commission to learn effective techniques for teaching academic subjects through the arts while artists worked with schools to develop curriculum-integrated residencies.
- Fiscal year 1998 interest earnings from the Connecticut Arts Endowment Fund were distributed among 74 state cultural organizations.
- Four major new public artworks were installed on college campuses as part of the Art in Public Spaces program. Forty additional projects proceeded through various stages of development during the course of the year.
- Over 170 arts advocates journeyed to the State Capitol in March to express to lawmakers the critical need for public funding of the state's non-profit arts industry. Arts Day at the Capitol offered participants informative panel presentations, musical performances and the opportunity for legislators to learn of the important role the arts play in their communities.
- Professional development activities of 26 non-profit organizations and one outstanding arts administrator were supported through the Arts Management Technical Assistance Program, and the Elizabeth Mahaffey Arts Administration Fellowship respectively.
- Distinguished Advocates for the Arts Awards were presented to 32 individuals in recognition of their efforts to foster cultural development and increase public participation and support for the arts in Connecticut.

Reducing Waste

The Commission has redesigned and consolidated several granting programs, saving considerable administrative costs in processing applications, grants contracts and payments. The agency has also undertaken a number of collaborative initiatives with other state government offices and outside organizations which have effectively utilized both human and financial resources.

Fiscal and personnel management functions of the Commission on the Arts have been assumed by the Connecticut State Library. The support of the library has enabled more efficient handling of administrative functions and has improved computer processing capabilities. The agency's enhanced computer system and software programs allow many publications to be designed and produced in-house, saving considerable outside costs. The Commission's website,

which experiences considerable monthly traffic that continues to accelerate, has resulted in a more cost-effective delivery of information, reducing printing and postage expenses.

The Commission has endeavored to present its programs in the most efficient manner possible. Operating expenditures have remained level for the past seven years. Additionally, while increasing its services and programs, the Commission's staff has declined by over 50 percent since 1980.

Strategic Planning

The Commission reviewed and re-assessed its strategic plan during 1998-99. The agency evaluated how it could best utilize its resources to further arts development, better serve artists and arts organizations, develop audiences, and encourage participation in the arts by residents of all ages. The process additionally considered more expansive societal issues by examining the role the arts industry plays in Connecticut's urban centers beyond its traditional marketplace, in areas such as community development and revitalization, education, tourism and jobs growth.

The following goals were set forth to guide the agency into the next millennium:

- Support artistic excellence and development to ensure a vital artistic presence in all Connecticut communities.
- Expand and deepen the role of diverse artistic disciplines and traditions in education.
- Expand public participation and individual engagement in the arts throughout Connecticut's diverse communities.
- Broaden public understanding and support for the arts through communication, advocacy and research.

Strategies, actions and specific steps to achieve the stated goals were determined and are presently being implemented.

Affirmative Action

The Commission on the Arts' Affirmative Action Plan is incorporated within that of the Connecticut State Library. That plan was approved by the Commission on Human Rights and Opportunities in August, 1998.



Office of the Attorney General

At a Glance

RICHARD BLUMENTHAL,
Attorney General

Established - 1897

Statutory authority - CGS Sections 3-124 to 3-131

*Central office - 55 Elm Street,
Hartford, CT 06106*

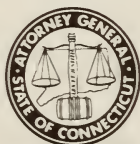
Average number of full-time employees - 354

*Recurring general fund operating
expenses - \$ 21.5 million*

Revenues generated - \$ 79,639,409

Mission

The mission of the Office of the Attorney General is to represent the state in litigation in the most vigorous and cost-effective manner to ensure that state government acts within the letter and spirit of the law, preserving public resources, preventing unnecessary litigation, improving the quality of life and protecting the rights of the people of the State of Connecticut to the fullest extent allowed by law.



Statutory Responsibility

The Attorney General is the chief legal officer of the state. The Attorney General's Office serves as legal counsel to all state agencies. The Connecticut Constitution and common law authorize the Attorney General to represent the people of the State of Connecticut to protect the public interest.

Revenue Achieved by the Office of the Attorney General

During the 1998-1999 fiscal year, without taking into consideration the \$5.5 billion dollars in compensation the Attorney General obtained for Connecticut from the Tobacco Industry, the Attorney General's Office generated almost 4 dollars for the State's General Fund for every dollar it expended for its operations. In addition, the Office generated almost \$70 million in revenue for special state funds and as restitution for consumers.

Tobacco Restitution to be Collected over 25 years \$5,500,000,000

A. Revenue Generated for State's General Fund

State Agency Child Support Collections	52,927,798
Tax Collection	4,993,165
Health Care Fraud Recovery	11,400,000
Penalties for Environmental Violations	2,058,618
Antitrust/Consumer Protection Fees and Costs	798,093
Department of Social Services Collections	821,659
Collections for Department of Administrative Services	3,997,612
Oil Overcharge Refunds	410,129
Insurance Investigation Fines and Costs	1,075,000
Damage to State Property	740,224
Miscellaneous Collections	417,111
Total Revenue Generated for State's General Fund	\$79,639,409

B. Revenue Generated for Special Funds

John Dempsey Hospital Collection	\$652,368
Second Injury Fund Collection	372,678
Workers Compensation re State Employee Collection	585,854
Unpaid Wage and Unemployment Tax Collection for Labor Department	1,114,049
Total Revenue Generated for Special Funds	\$2,724,949

C. Revenue Awarded or Paid to Consumers

Antitrust/Consumer Protection Restitution	\$595,198
Environmental Remediation	565,000
Environmental Clean-up costs	806,719
Charitable Funds Recovered or Preserved for Charitable Purposes	65,200,000
Restitution for Inappropriate Billings and Insurance Coverage Determinations	2,263,739
Total Revenue Generated for Consumers	\$69,430,656

GRAND TOTAL OF REVENUE ACHIEVED **\$149,070,065**

Public Service

The Office of the Attorney General is divided into 14 departments, each designated to represent agencies which provide particular categories of service to State residents. The Attorney General also participates in the legislative process, maintains an active communication with citizens and investigates, in conjunction with the State Auditors, Whistleblower complaints. The overall work completed by this office in fiscal year 1998-1999 is summarized as follows:

Court cases completed	9499
Court cases pending	9050
Legal documents examined	6249
Administrative proceedings	4891
Appeals completed	123
Appeals pending	264
Formal opinions rendered	24

Legislation

The Attorney General successfully advocated for legislation that establishes a guaranty fund for consumers who are victims of new home construction fraud, requires a person delivering alcohol to view an official form of identification, restricts the disclosure of medical records and creates a crime of identity theft. The Attorney General was authorized by the legislature specifically to bring an action on behalf of taxpayers against the State of New York which imposed the New York City commuter tax only on non-New York residents. The Attorney General also held a Lyme Disease legislative forum which resulted in mandatory insurance coverage for Lyme Disease diagnosis and treatment. Additionally, the Attorney General worked to establish a managed care ombudsman office to assist consumers in dealing with denial of health insurance coverage. Finally, the Attorney General was a member of two working groups which successfully proposed legislation to clarify the scope of Megan's Law and expand the witness protection program.

Communications with Citizens

During the 1998-99 fiscal year, the Attorney General's Office continued its efforts to communicate effectively to Connecticut citizens about its operations, and sought to educate residents about their rights as consumers.

The Internet continues to be a growing source of information for citizens. The Web Site for the Office has been singled out as one of the best in Connecticut and has won praise from other attorneys general across the country. The Attorney General's home page — www.cslnet.ctstateu.edu/attygen1 -- averages 888 hits per day. It provides computer users with the most up-to-date information as well as a database of materials on topics ranging from sweepstakes scams to "deadbeat" parents.

The Office continued and expanded its "Consumer University," a program geared toward senior citizens that provides valuable information and tips concerning their consumer rights. This year, sessions were held in New Britain, Hartford, Norwich, Norwalk and Fairfield and sessions are now periodically held in Spanish for the Latino community.

The publication, *The Senior Advocate*, remains an important monthly newsletter that is sent to senior citizens groups, police departments and libraries. The Office recently launched a Spanish-language version which, like the English version, alerts seniors to scams and provides other vital information.

The Office also continues to distribute popular publications on such topics as auto leasing, auto repair, bankruptcy, scams against businesses, credit repair, telemarketing fraud and home improvement repair.

Health Care Fraud/Whistleblower

The Health Care Fraud/Whistleblower Department was expanded in this past fiscal year to also provide a Health Insurance Advocacy program to look into health insurance coverage issues.

Regarding Health Care Fraud, 181 files were opened and 53 were closed. The Unit settled an investigation into the cost reporting practices of a multi-national chain of nursing homes doing business in Connecticut resulting in a combined recovery and savings to the State of \$8.4 million.

In addition, the Department obtained hundreds of thousands of dollars in restitution from a wide variety of providers. The Department has continued to pursue claims of illegal billing practices against health care providers that bill Medicaid recipients directly rather than — and, in some cases, in addition to — billing Medicaid. Those claims range from a few dollars to thousands of dollars. The Department estimates the total value of these cases to be approximately \$100,000.

The Department currently is engaged in complex settlement negotiations in at least two major cases, has claims for restitution pending in three federal criminal cases, is working with the U.S. Attorney's Office on a number of joint state-federal investigations, and is investigating claims of fraud by Medicaid managed care companies.

Regarding the Whistleblower aspect of the Department, many of the investigations and the reports generated as a result of the investigations have resulted or will result in correcting and/or improving the integrity and operation of state government and in the saving of considerable tax dollars. At this time, there are several long term, major whistleblower investigations proceeding simultaneously.

The Health Insurance Advocacy program assists consumers who submit complaints regarding health insurance coverage. The Advocacy program opened 512 cases and closed 110. Many of these cases have significantly improved, and in some cases, may have saved the lives of many of the consumers involved. These cases involve people who have exhausted all other resources in trying to resolve complex and difficult health care insurance coverage problems, including matters of life and death.

Antitrust-Consumer Protection Department

This Department administers the Connecticut Antitrust Act, and has authority to enforce provisions of federal antitrust laws. It represents the Department of Consumer Protection and occupational licensing boards and commissions within the Department of Consumer Protection, and engages in litigation for consumers under various state and federal acts, with a major reliance on the Connecticut Unfair Trade Practices Act (CUTPA). To facilitate the resolution of constituent complaints to the Attorney General, and to improve the quality of responses to constituents, the Consumer Assistance Unit (CAU) was set up in 1997. During the past year, the CAU successfully resolved approximately 3,700 complaints, many with the help of senior volunteer advocates. The Department advocates on behalf of consumers before the Department of Public Utility Control and related federal agencies concerning telecommunications issues. In addition, the Department is in charge of criminal prosecutions under the Home Improvement Act.

The Attorney General played a major leadership role in the national tobacco settlement which will help to save lives now, and begin to fairly compensate Connecticut for the harm done by the tobacco companies' wrongdoing. The settlement achieves important public health protections and approximately \$5.5 billion dollars over 25 years. The settlement will also provide for tobacco advertising and marketing restrictions, public health prohibitions, a national countermarketing campaign, and maintenance of an internet site which will include all documents previously produced in any Attorney General suit. The court order containing the settlement requires a comprehensive, separately funded national program of education, prevention, and cessation. The agreement will be enforced by the Attorney General strictly—seeking harsh contempt penalties for any violation on his own in the state courts, without permission or participation of the federal government or other states.

The Attorney General filed a lawsuit against Publishers Clearing House for sending deceptive and misleading offerings to Connecticut residents. The suit alleges that the solicitations are primarily designed to induce consumers to order magazines and merchandise by implying that the recipient had won a large cash prize or that consumers who order merchandise have an improved chance of winning. The suit also alleges that the company intentionally manipulates the content of its hundreds of mailings through a variety of unfair marketing techniques.

Based upon action by the Attorney General, the May Department Stores Company agreed to

pay approximately \$22 million to consumers and 24 states as part of a settlement arising out of the company's unlawful debt collection practices involving consumers who had declared bankruptcy. May had solicited customers who filed Chapter 7 bankruptcy to sign a contract agreeing to repay their debt rather than have it dismissed in Bankruptcy Court. May then failed to file those agreements with the court as required by law. The money will be used for civil penalties, costs and funding of consumer protection and education programs.

A multistate settlement with SmithKline Beecham Consumer Healthcare was established for misleading advertisements and deceptive trade practices involving NicoDerm CQ and Nicorette, the company's over-the-counter smoking cessation products. The settlement prohibits the company from making unsubstantiated claims in advertising the product, requires disclosures to the public and provides for the payment of \$2.5 million to the 12 investigating states. Additionally, SmithKline Beecham will pay \$158,333.33 to Connecticut's Mobilizing Against Tobacco for Children's Health.

Attorney General Blumenthal led 28 other Attorneys General in requesting that the Federal Trade Commission create enhanced safeguards to protect consumers from deceptive practices in the telecommunications industry. Specifically, the Attorney General seeks the implementation of basic protections similar to those given to credit card customers, including the right to dispute charges on phone bills without fear of service disconnection and the right to know exactly what is being charged on phone bills.

The Attorney General has participated in many proceedings before the Department of Public Utility Control that have had a direct and profound impact upon Connecticut consumers. Highlights of these efforts include: active participation in the Connecticut Light and Power Company's rate case, which resulted in a 4 percent (\$95.8 million) rate reduction, and a 5.68 percent (\$136.1 million) write-down in deferred taxes; active participation in the SBC-SNET merger in which, among other things, the Attorney General persuaded the DPUC to require that SBC maintain SNET's cable franchise for at least two years; participation on advisory councils charged with informing consumers about electric restructuring and ensuring that conservation dollars are spent wisely; involvement in a proceeding to determine the prudence of the United Illuminating Company's management of the Bridgeport Harbour plant; and a leadership role in electric restructuring proceedings, including cases in which the Attorney General convinced the DPUC to recognize hundreds of millions of dollars in reductions to the costs that the electric companies are seeking to impose upon Connecticut consumers.

Following his institution of a lawsuit, the Attorney General was instrumental in obtaining settlements totaling over \$50 million, in cash and toys, with Toys 'R' Us, Mattel and The Little Tikes Company. The settlements, which resolve a multistate antitrust lawsuit against the nation's largest toy retailer, provide for the distribution of toys to thousands of needy Connecticut children during the next three holiday seasons. The lawsuit charged that Toys 'R' Us orchestrated illegal agreements among toy manufacturers to restrict or limit the supply of certain popular toys to warehouse clubs.

The Attorney General is actively involved in pending litigation against the Microsoft Corporation wherein Connecticut—along with 18 other states and the United States Department of Justice—has alleged that the software giant has abused its monopoly power. The claims are directed at Microsoft's predatory conduct resulting from its market dominance of computer operating systems.

Following a comprehensive investigation, the Attorney General has reached an agreement with American Medical Response, Inc., requiring the ambulance company to sell a significant number of ambulances, corresponding Health Department licenses, and to surrender key coverage areas to allow for greater competition in Connecticut. AMR's grip on Connecticut's ambulance market resulted from a series of mergers, prompting an investigation by the Attorney General's Office into antitrust allegations by the ambulance company. As part of the settlement, AMR paid the State \$100,000 for attorneys' fees and costs.

Child Protection Department

Over the past year, we have experienced an increase in the volume of cases as well as appeals in juvenile court matters. Changes in federal and state law have resulted in greater emphasis on achieving permanency for foster children. This has meant processing and expediting more cases and consequently additional judges and attorneys have been required to handle the increased

workload. As a result of these changes, more children whose parents could not care for them have been freed to be adopted and placed in permanent homes.

Significant matters handled this year included defending DCF in a compliance hearing on the Juan F. Consent Decree. After a lengthy hearing, the court monitor found that DCF was in compliance, in most respects, with the decree; however, further negotiations resulted in an agreement that the agency would make additional efforts to retain and support foster homes.

At the Appellate Court, this department was successful in defending court decisions terminating parental rights in numerous cases. A significant decision was issued in In re Lauren R., where the Appellate Court held that a parent's failure to believe her child had been sexually abused, and the parent's failure to cooperate with police to protect the child, constituted acts of parental omission, supporting termination of parental rights. The Appellate Court also found that a trial court may exercise its discretion and refuse to require a child to testify, particularly when testifying would revictimize the child.

Another important case was In re Jessica B where a mentally retarded mother appealed the termination of her parental rights, claiming she had rehabilitated. The Appellate Court found that termination was justified because the mother could not care for herself or her child, was currently living with a man convicted of sexually abusing a child, and refused to develop a competent support system.

In In re Roshawn R. et al, the Appellate Court upheld terminating parental rights of a father who had spent a number of years incarcerated. In that case, the state defended the trial court's ruling that a father had failed to rehabilitate with some children but not with others. The Appellate Court held that that termination of parental rights must be judged on each child individually and as the father had a strong bond with only two of his children, parental rights could be terminated as to his other children..

The Appellate Court concluded, in In re Denzel A, that grandparents do not have a right to challenge a decision terminating parental rights. In In re Hector, the Appellate Court found that the constitutionally mandated standard of proof in termination cases is clear and convincing evidence, not evidence beyond a reasonable doubt.

One important case waiting a decision from the Connecticut Supreme Court is In re Eden. In that matter, the Appellate Court overturned a trial court's ruling terminating parental rights, claiming that DCF had failed to prove that reasonable efforts to reunify the family had been made by DCF. The issues pending before the Supreme Court include whether the Appellate Court erred when the evidence clearly supported the trial court's conclusion that a mentally ill parent, whose children had spent years in foster care, could not benefit from further services.

Environment Department

The Environment Department's primary goal is to enforce the environmental laws vigorously and effectively. The department continues to be very successful in meeting that goal.

The department often seeks both a civil penalty, to deter future violations and punish past ones, and a court injunction prohibiting further violations. Injunctions often require certain actions be taken to correct pollution caused by past non-compliance. Using relatively new authority from the legislature, the department also seeks and obtains court-ordered commitments requiring defendants to provide direct assistance to projects or programs to improve the environment, in addition to monetary penalties. These projects are called "Supplemental Environmental Projects" or "SEPs".

This year, the department handled several important cases. The office filed suit and obtained a temporary restraining order against Light Sources, Inc. and related corporations for significant mercury contamination to several watercourses and wetlands. Light Sources manufactured fluorescent light bulbs containing mercury and the injunction requires Light Sources to remove the contamination it caused. The department also filed suit and obtained a temporary injunction against Municipal Enterprises, Inc. for operating a landfill in Colchester without a permit. The injunction required Municipal Enterprises, Inc. to cease its illegal activity. Additionally, the agency sued Safety-Kleen for numerous hazardous waste violations. The suit was settled requiring the company's compliance with all environmental laws and a civil penalty of \$662,500.00.

Among the other significant cases closed this year was the state's lawsuit against Northeast Utilities which obtained a penalty of \$1.2 million, of which \$500,000 was used to fund supple-

mental environmental projects benefiting the Long Island Sound. In addition, in a lawsuit against the Secretary of Interior, the court ruled that the Secretary of the Interior could not convert land owned by Mashantucket Pequot Tribe into trust land.

The department continues to play a significant legal role in "Superfund" litigation. The department provides ongoing legal support for the Department of Environmental Protection's (DEP) efforts to clean up the Raymark facility and municipal and residential properties in Stratford contaminated with Raymark waste. The department is involved in litigation to obtain costs and expenses from the parties responsible for the Raymark contamination and is providing legal support for redevelopment of the site.

This department has a significant role in appeals from decisions of wetland agencies. The department's oversight of every wetland appeal in the state allows the state to play an important role in shaping wetlands law.

This year, the department saw a significant increase in the collection of civil penalties. The department collected \$2,626,618.29 in civil penalties, which figure includes \$565,000 in supplemental environmental projects which directly benefit the environment. The department handled 412 trial court and appellate court cases and 36 administrative proceedings. In addition, the department recovered \$806,719.11 in environmental clean-up costs for the state. The department obtained several injunctions to stop companies from polluting or other environmentally damaging activities and to require companies, as partial compensation for the damage they have done, to undertake environmentally beneficial activities. The department's attorneys also represented the Department of Environmental Protection (DEP) staff in several complex administrative hearings and protected DEP's interest in 40 bankruptcy cases.

Finance and Public Utilities Department

The Finance and Public Utilities Department provides legal services to state agencies which regulate insurance, banking, securities and public utilities, as well as the Department of Revenue Services, the Department of Economic and Community Development, the Office of Policy and Management, the Bond Commission, the Treasurer and the Comptroller.

Known for its expertise in the regulation of financial services, this department is dedicated to protecting consumers. A joint investigation of "churning" by the Metropolitan Life Insurance Company conducted by the Attorney General and the Market Conduct Division of the Insurance Department resulted in restitution to hundreds of MetLife policyholders and the imposition of \$1 million in fines and costs. Another investigation by this office and the insurance department resulted in a settlement in which MONY Life Insurance Company agreed to reimburse 23 Connecticut consumers a total of \$1.25 million for MONY's participation in the Moser Farms Producer Security Plan, a failed retirement benefit scheme. In keeping with our commitment to protect consumers of financial services, we continue to challenge a plan by the state's biggest banks, Fleet Bank and First Union, to surcharge depositors who use their ATM machines. Finally, we have successfully resolved hundreds of consumer complaints regarding HMO's, automobile insurance, credit cards and mortgage companies.

This department's financial expertise and ability to handle complex transactions were also employed to advise the Secretary of the Office of Policy and Management, the Treasurer and the Comptroller resulting in the review of more than 250 contracts, grants and loans for the Department of Economic and Community Development.

In addition to defending more than 100 tax appeals involving millions of dollars of state revenue, the Attorney General also fought, on behalf of Connecticut citizens, New York City's unconstitutional Commuter Tax. In May of 1999, the State of New York repealed the income tax commuters pay to New York City, but only for New Yorkers, leaving the burden of the tax primarily on nonresidents, including approximately 86,000 from Connecticut who work in New York City. In less than a month after filing a landmark lawsuit, the Commuter Tax was struck down as a violation of the Privileges and Immunities Clause of the United States Constitution. The case is presently on appeal.

Another landmark decision was issued by the Connecticut Supreme Court in Chase Manhattan Bank v. Gavin. In that case the Court held that the undistributed income of Connecticut trusts held by Chase Manhattan in New York was subject to the Connecticut income tax. This decision insures that millions of dollars of income tax revenue will flow to Connecticut.

This year the attorneys in this department continued to help the Department of Public Utility Control implement telephone competition in Connecticut. Some cases of particular interest to

consumers involved our defense against challenges to the telecommunications relay service that assists the hearing impaired to communicate with computer-like phones and to the application of universal service fund contributions from cellular phone providers. Nuclear waste issues continued to dominate the group's active federal forums involvement. In addition to initial success in substantially reducing the Connecticut Yankee Atomic Power plant decommissioning costs, the group has been active in litigation to require the federal Department of Energy to remove spent nuclear fuel from Connecticut nuclear plants — a process which was supposed to have started nearly three years ago. The Connecticut Siting Council has also generated several actions that will define the role between the state, local and federal governments in regulating the location of telecommunication towers.

Child Support Department

This department, with offices in Hartford and Bridgeport, provides necessary legal services on behalf of the Bureau of Child Support Enforcement (DSS) and the Support Enforcement Division (Judicial Branch), under a cooperative agreement directed at satisfying Connecticut's responsibilities under the Child Support provisions of the Social Security Act and related State laws. Traditionally a department with significant litigation responsibilities, last fiscal year again witnessed a heavy volume of cases in all operational areas. Statistically, the work of this department found assigned professional and support staff handling more than 14,250 new court referrals and closing-out over 13,150 cases. Much of this activity was in the paternity area with the department receiving 3,782 new paternity cases during the year, closing-out 4,283 and obtaining more than 2,800 determinations (judgments and voluntary acknowledgments). In addition, department attorneys made more than 6,000 court appearances in interstate support cases under the Uniform Interstate Family Support Act (UIFSA).

The Child Support Department is presently defending one appeal before the Supreme Court from a favorable Appellate Court ruling that a paternity judgment cannot be reopened unless the earlier judgment was obtained through fraud. A second important Appellate Court ruling held that unless a paternity judgment has been reopened, it is error for the court to order genetic (DNA) testing. The Appellate Court also endorsed our position that there was no right to a jury trial in a paternity action brought pursuant to the interstate child support statutes that were replaced by the Uniform Interstate Family Support Act.

The fiscal year also witnessed continuing close cooperation between the Attorney General's Office, the Bureau of Child Support Enforcement, the Support Enforcement Division and court operations officials, directed at ensuring that the mandatory federal performance standards for the child support program, incorporated into Connecticut law through statutory and regulatory requirements, were being met. A new cooperative agreement was implemented between the Attorney General's Office and the Bureau of Child Support Enforcement and department staff continued to be directly involved in the development of new child support legislative initiatives designed to facilitate the establishment, enforcement and collection of child support orders. Office personnel also played a leading role in the promulgation of the new Child Support and Arrearage Guidelines which took effect on August 1, 1999. We continued to work closely with the other IV-D cooperating agencies in publishing wanted posters, depicting some of Connecticut's most seriously delinquent child support obligors. In addition, in close cooperation with the High Sheriffs, we again coordinated very successful weekend round-ups of scores of delinquent obligors who were the subject of outstanding civil arrest warrants. Through the combined efforts of the participating IV-D agencies, total child support collections reached \$130,841,452 million in SFY 98/99.

Labor Relations Department

This department represents state officers and agencies that administer state laws regulating employment in both the public and private sectors, including civil service laws, collective bargaining laws, wage and hour laws, OSHA, state employee and municipal employee retirement laws, as well as unemployment compensation laws. Principal client agencies are the Department of Administrative Services, the Labor Department, the Administrator of the Unemployment Compensation Act, the OSHA Review Board, the State Board of Mediation and Arbitration, the State Employees Retirement Commission, the Teachers' Retirement board, the Employees' Review Board and the Claims Commissioner. Because of the broad reach of labor

and civil rights laws administered by these clients, the issues and litigation handled by lawyers within this department are varied and complex. Examples of the types of issues and cases handled by this department are found in the following 1998/99 court actions.

In two federal court actions the lawyers of this Department successfully defended two civil rights actions against the state and its officers. In Ryan, et al. v. Fire Protection Sprinkler System Board, et al. we thwarted the plaintiffs' attempts to have the state's apprenticeship regulations declared unenforceable as preempted by ERISA and to hold various state officials liable in damages for the enforcement of these regulations. Also a dismissal was obtained in federal court in a civil rights action by a state employee, who claimed that a state police search of her office constituted an invasion of her personal right of privacy, and constituted an intentional infliction of emotional distress. Asresky v. Ellef, et al.

While hundreds of unemployment compensation cases were successfully litigated in state and federal courts, three stand out as being of particular significance. In one of these cases an employee claimed that the failure of the state to consider payments received by him under the state workers' compensation act as qualifying earnings for unemployment compensation eligibility purposes violated his federal constitutional due process rights. A favorable decision was secured at the district court level and the appeal thereof was dismissed by the court of appeals. Gyadu v. Administrator. The rights of striking employees to refuse to return to work under terms less favorable than those provided in a recently expired collective bargaining agreement without forfeiting their entitlement to unemployment compensation was adjudicated in favor of the Commissioner of Labor and striking employees. Church Homes v. Administrator. Also, the Commissioner of Labor, represented by the lawyers of this department, prevailed upon his claim that claimants fired for a single act of theft of property valued at less than \$25.00 are no longer eligible for unemployment compensation benefits. Moffett v. Administrator.

This department frequently becomes involved in collective bargaining proceedings after the issuance of an arbitral award by defending applications to vacate awards brought by unions on behalf of their members or by moving to vacate awards on behalf of the employing state agency. In State v. AFSCME, Council 4 (Local 387) and in State v. AFSCME, Council 4 (Local 1565) the state challenged arbitration awards reinstating terminated state employees. As a result of our challenges a superior court judge vacated the order of reinstatement of a corrections officer who was fired after he pleaded "no contest" to criminal charges stemming from his use of a state telephone at his work station to deliver an obscene racist message to an African American Senator who did not support an arbitrated pay increase for corrections officers. In the other case, a judge vacated an award reinstating a DOC employee, who had been convicted of drug-related felonies, and who was still on probation for this offense. The court upheld the state's position that there existed a well-defined public policy prohibiting such persons from working in positions dealing with children.

The state as an employer is subject to prohibited practice complaints filed by employees and their unions with the Connecticut State Board of Labor Relations. This department of the Attorney General's Office represents the state as an employer in post decision proceedings in the superior court. In two such proceedings the lawyers of this department obtained rulings affirming labor board decisions favorable to the state. These decisions allowed the state Commission on Human Rights and Opportunities and the Department of Correction to more closely monitor and control the work of Commission investigations and to more closely monitor and control the use of sick leave by corrections officers.

In addition to representing state agencies in litigation, this department renders substantial legal guidance to state agencies in the area of civil rights and employment law. Of particular importance was its work this year in the area of sexual harassment in the workplace. Our legal advice was prompted by the decisions of the United States Supreme Court in Burlington Industries, Inc. v. Ellerth and Faragher v. City of Boca Raton, in which the Court set forth limited circumstances and procedures by which employers may avoid liability for sexual harassment of its employees by its own supervisory employees. We provided an in depth analysis of these decisions along with recommendations for the implementation of training, reporting, investigating, and disciplinary procedures by which state agencies may avoid liability for the illegal acts of its supervisory employees.

Public Safety and Special Revenue Department

This department represents the Department of Public Safety, including the Division of State Police, the Division of Fire, Emergency and Building Services; the Military Department; the Department of Correction; the Division of Special Revenue and the Department of Consumer Protection Liquor Division. It also provides legal services and representation to a number of associated boards, commissions and agencies, including the Division of Criminal Justice, the Division of Public Defender Services, the Office of Adult Probation, the Governor's Office (Interstate Extradition), the Statewide Emergency 911 Commission, the State Codes and Standards Committee, the Crane Operator's Examining Board, the Board of Firearms Permit Examiners, the Commission on Fire Prevention and Control, the Board of Pardons, the Board of Parole, Police Officer Standards and Training Council, the High Sheriffs and County Sheriffs Office, and the Gaming Policy Board.

Although the department provides legal services to and represents a variety of state functions in the area of public safety, criminal justice and special revenue, a substantial portion of our work is in defense of the state in lawsuits brought by and on behalf of prisoners. This office continues to defend a large number of lawsuits challenging conditions of confinement in state correctional facilities and the administration of community programs. These lawsuits collectively seek millions of dollars in money damages and seek to challenge and restrict the statutory authority and discretion of the Department of Correction. Efforts in defense of these cases save the State of Connecticut millions of dollars in claimed damages, save additional sums which might have been required to comply with court orders and preserve the state's authority in administering a growing prison population.

Of particular interest are several favorable court decisions rendered during the past year restricting prisoner eligibility for good time credits, which would have significantly shortened sentences imposed by the courts. In Beasley v Commissioner of Correction and Narducci v Commissioner of Correction, the court rejected a challenge to the Department's Administrative Directive that prohibits inmates from earning good time credits when such inmates are in Administrative Segregation status because of disciplinary infractions. In addition, the office continued to support the Connecticut Supreme Court decision that upheld this office's interpretation of a 1993 statute that eliminated good time credits for prisoners who were convicted of a crime committed on or after October 1, 1994.

The department continues to expand defense representation arrangements for lawsuits involving the State Police seeking money damages. Under this program, the state retains direct liability, indemnification and, through this office, defense responsibilities for the majority of cases filed. Matters that may result in extraordinary liability are referred for insurance coverage. The caseload of police litigation continues to grow, as expected, and the cost savings to the State of Connecticut continue to rise. In the past year, this office successfully litigated a number of such cases and received favorable jury verdicts in several.

In carrying out duties to promote public safety, the department defended several cases involving significant public safety issues during the past fiscal year. In Doe v Department of Public Safety, this office successfully defended in the United States District Court the Department of Public Safety's Sex Offender Registration program. The department is also defending several challenges to a statute that requires certain convicted sex offenders to provide blood samples for DNA analysis, the results of which will be included in the State Police Forensic Lab's DNA data bank to assist law enforcement agencies in solving crimes. One of these cases was recently argued in the Court of Appeal for the Second Circuit and a decision is expected in the near future. In addition, we have worked closely with the Department of Public Safety, the Department of Correction, the Chief State's Attorney's Office, and other agencies involved in coordinating the implementation of the statutes creating the DNA data bank and the Department of Public Safety Sex Offender Registry.

In In Re State Police Litigation, it was claimed that the recording of incoming and outgoing telephone calls from State Police barracks from 1978 through 1989 violated the state and federal wiretapping statutes and various state and federal constitutional provisions. During the past year, we achieved a settlement of this complex case, thereby limiting the State's monetary exposure in this matter.

During the past year, the department provided legal advice and representation to the Division of Special Revenue regarding a variety of complex and significant issues related to legal-

ized gambling, including gambling at the state's two casinos. In one such opinion, we advised the Division that it had the authority to charge the Mashantucket Pequots for certain indirect costs associated with the Divisions regulatory duties over the tribe's gambling activities, thereby significantly increasing the reimbursement to the State for such costs. In Lewis v Cohen, an important First Amendment case that has broad implications for all government agencies, the Second Circuit Court of Appeals reversed a verdict against Division officials and upheld the Division's disciplinary action against a disruptive employee.

During the past year, this office provided the Liquor Control Division with advice on a number of legal issues, including two that have particular significance. The department advised the Division that it has the authority to require the Mashantucket Pequot and the Mohegan Tribes to obtain liquor permits for the sale of alcoholic liquor on their reservations, and also advised the Division that their inspectors may use minors when conducting checks for compliance with laws governing the sale of tobacco in establishments that serve alcoholic beverages.

Transportation, Housing and Public Works Department

This Department of the Office of the Attorney General represents the following state agencies: Department of Transportation (DOT); Department of Public Works (DPW); Department of Administrative Services (DAS); Department of Motor Vehicles (DMV); Department of Housing (DOH); Department of Information Technology (DOIT); the Connecticut Historical Commission; and, the Connecticut Hazardous Waste Management Service. This representation includes counseling on legal issues, the prosecution or defense of lawsuits or claims in federal and state courts and before various administrative boards, and other legal functions. This Department also represents the Department of Environmental Protection, Agriculture and Public Works in numerous real estate transaction each year.

During the past year the Department provided legal counsel to the DEP in connection with the acquisition of a record breaking 3,550 acres of open space through the Preservation and National Heritage Trust Program. That property had a fair market value of \$14,000,000.00. These acquisitions were in addition to scores of other real estate transactions handled by this Department for the three agencies. In addition the Department provided legal representation to the Department of Environmental Protection in numerous complex property litigation matters.

As a result of the broad scope and complexity of the public works projects undertaken by the State, there is a continuing need for this Department to provide legal assistance to the DOT and DPW concerning bidding questions, contract interpretation and other problems that inevitably arise during the course of large construction projects. Despite the best of efforts, many claims are simply unavoidable and therefore require early analysis and intervention in order to minimize potential adverse financial impacts on the State. The Department is litigating or expects to litigate several multi-million dollar claims arising from contract disputes involving public works projects. A case of particular note this year is Connecticut Associated Builders and Contractors v. Commissioner of Public Works which upheld the use of a project labor agreement (PLA) on a major college construction project. The Commissioner prevailed in the Superior Court and the plaintiff appealed to the Supreme Court which heard arguments this past Spring. This Department is also awaiting decisions from the Supreme Court in two other construction litigation matters: Peobody, Inc. v. State of Connecticut, DOT and ECAP v. Commissioner of Public Works. Both cases involve significant issues regarding sovereign immunity and Connecticut's statutory scheme for providing contractors with compensation for alleged damage claims arising from public construction projects.

In addition to contract construction issues, this Department is involved in various environmental matters associated with public works projects or other activities of our client agencies in preparing environmental impact evaluations on projects under the National Environmental Policy Act (NEPA) and the Connecticut Environmental Policy Act (CEPA). In this regard, the Department is awaiting the decision of the Connecticut Appellate Court in Nizzardo v. State Traffic Commission, an important case involving the scope of the Connecticut Environmental Protection Act and the responsibilities of the state agencies under that Act. The Department also assists in preparing and obtaining necessary environmental permits (e.g., wetland permits) for projects from the Connecticut Department of Environmental Protection (DEP) and federal agencies (e.g., the United States Army Corps of Engineers). The Department is also defending the interest of the State of Connecticut in major environmental litigation, including pollution mat-

ters under the Resource Conservation and Recovery Act (42 U.S.C. § 9601, *et seq.*) and other federal and state laws. *See, e.g., Burnette v. Weicker*, and, *Lijedahl v. Jewell Painting, Inc.* Lastly, the Department participated as *amicus curiae* in a Supreme Court appeal, *Semtni v. Conn. Hazardous Waste Service*, addressing the important issue of government planning and at what point, if ever, governmental planning can result in a constitutional taking of property that would require the State to pay the property owner compensation.

Special Litigation Department

This Department represents the Governor, the Judicial Branch, the General Assembly, the Secretary of the State, the Auditors, the State Elections Enforcement Commission, the State Ethics Commission, the State Properties Review Board, the Judicial Review Council, the Judicial Selection Commission, the Commission on Human Rights and Opportunities, the Office of Protection and Advocacy for Handicapped and Developmentally Disabled Persons, the Accountancy Board, the Office of the Child Advocate, and the Latino and Puerto Rican Affairs Commission. In addition, through its Public Charities Unit, the Department protects the public interest in gifts, bequests and devises for charitable purposes; and in cooperation with the Department of Consumer Protection, administers and enforces state laws regulating charities and professional fundraisers who solicit from the public.

In the area of charitable trusts and gifts, the Department brought actions against several entities to ensure that charitable gifts were being used for the purposes for which they were given, and is currently monitoring the conversion of several non profit health insurers into for-profit entities in order to ensure that charitable assets and gifts be set aside and protected. In the area of charitable solicitations, the Public Charities Unit brought a number of significant cases involving misuse of funds solicited from the public, including *State v. TCI, Inc.*

The Unit continues to monitor solicitations by charitable organizations, and provides information to members of the public to assist them in making informed decisions on charitable giving. Currently, 6,278 charities, an increase of 6.4 percent over last year, and 69 professional fundraisers are registered with the state. In the past five years alone, the number of registered charities has increased by more than 27 percent, and the number of registered professional fundraisers has increased by 35 percent. Of \$8.9 million donated to professional telephone solicitors for charitable organizations in 1998, only \$3 million, or 33.5 percent of the total money collected, was actually turned over to the organizations to which the donors thought they were giving. The Department makes this information available to the public so individuals can make informed decisions on contributing to charities.

The Department also represents the interests of the people of the state in matters before the Bureau of Indian Affairs in the United States Department of the Interior and in litigation involving land claims brought by groups claiming Indian ancestry. The Department is actively involved in reviewing, researching and responding to petitions filed by a number of groups currently seeking federal recognition, including the Golden Hill Paugussetts, the Eastern Pequots, and the Paucatuck Eastern Pequots.

The Department also represents the interests of the people of the state in land claim actions brought by tribes in federal and state courts. During the past year, in a case argued by the Attorney General, the Appellate Court affirmed a Superior Court decision dismissing four land claim suits brought by the Golden Hill Paugussetts against landowners in Shelton, Seymour, Trumbull, and Bridgeport. *Golden Hill Paugussett Tribe v. Shelton, et al.* The Department has also filed an *amicus curiae* brief in a federal suit brought by the Schaghticoke Tribe claiming land in the Kent area of Connecticut. *Schaghticoke Tribal Nation v. Kent School Corporation, Inc., et al.*

The Department provides legal services to the Commission on Human Rights and Opportunities with respect to housing and public accommodations matters, and defends the state in numerous high exposure personal injury actions brought by individuals seeking money damages against a variety of state agencies.

The Department also plays an important role in the preparation of appeals. Department attorneys supervise the briefing of numerous appeals involving the state, and have argued a number of significant cases in the State Supreme Court and the Second Circuit Court of Appeals. Among the significant cases argued successfully this fiscal year before the Connecticut Supreme Court are *Sweetman v. State Elections Enforcement Commission*, upholding sanctions

imposed for violating state elections laws; Wasau v. Second Injury Fund, sustaining the constitutionality of legislation reforming and closing the Second Injury Fund; Beasley and Narducci v. Commissioner of Corrections, sustaining a prison regulation against a constitutional attack; and Nancy G. v. Department of Children and Families, affirming the denial of an adoption subsidy in a foreign adoption. All of these cases involved issues of importance far beyond the individual case argued.

The Department also participated in ongoing litigation in which the Attorney General sought to prevent banks from charging excessive fees to non-customers using ATM machines, as well as in litigation to uphold the constitutionality of local ordinances prohibiting cigarette machine sales.

The Department also operates a Moot Court program for attorneys in the office, plays an important role in the office's participation as amicus curiae in cases before the United States and Connecticut Supreme Courts, and organized a series of trial practice seminars to enhance office attorneys' litigation skills.

Collections and Revenue Enhancement Department

This Department represents the Department of Administrative Services, Fiscal and Administrative Resources - Collections, as well as certain collection activities of the Department of Social Services, the Labor Department, the John Dempsey Hospital, the Second Injury Fund, the Revenue Services Department, the Connecticut State University, the Department of Higher Education, the Secretary of State and various other state agencies.

In fiscal year 1998 - 1999 the total revenue collected by the Department equaled the sum of \$ 10,625,300.51 while it disposed of 1,888 cases. In addition to these cash receipts, security interests were acquired by the Department in the form of judgment liens, mortgages, and statutory liens with a value totaling \$ 418,045.08.

In connection with its mission to recover monies that are owed the State of Connecticut, the Department's staff was actively engaged in a varied range of litigation and negotiation efforts which were of marked importance because of their precedent setting value for future endeavors of the Department. A brief sampling of some of these activities includes the following:

In Re Estate of Joseph Soriano - The Department's representation of the Department of Administrative Services in this probate proceeding resulted in the recovery of \$407,682.04 in reimbursement for the costs of institutional care.

In Re Prindle Leasing Company, Inc. - As a result of its involvement in this Chapter 11 proceeding in the Bankruptcy Court for the District of Connecticut, the Department recovered \$636,970.62 in taxes due the Labor and Revenue Services Departments.

In Re Estate of Jerome Trichter - The Department's participation in this probate estate resulted in a recovery of \$388,018.35 in public assistance grants.

In Re Carabetta Enterprises, Inc. - The Department's representation of the Labor and Revenue Services Departments in this Chapter 11 proceeding in the Bankruptcy Court for the District of Connecticut resulted in a recovery of \$713,993.70 in taxes.

In Re Estate of Aaron Kelly - The Department's involvement in this probate proceeding resulted in a recovery of \$178,084.84 in public assistance grants for the Department of Administrative Services.

In Re Estate Anna Winston - As a result of the Department's participation in this probate estate, it recovered the sum of \$176,399.00 in public assistance grants for the Department of Administrative Services.

In addition to engaging in litigation, the Department's staff regularly received and responded to numerous requests for legal advice and information which routinely called for the examination of trusts, wills, deeds and other legal instruments.

Health and Human Services Department

The Health and Human Services Department represents the health-related agencies of the State of Connecticut. It represents the Department of Social Services, the Department of Mental Health and Addiction Services, the Psychiatric Security Review Board, the Department of Veterans' Affairs, the Commission on Medical and Legal Investigations overseeing the Office of the Chief Medical Examiner, the Department of Public Health, the Office of Health Care Access, and the various health licensing boards.

We continue to have a large number of referrals from the Department of Public Health in the

day care area. These cases reflect a variety of issues including child abuse. In the last year alone, we reviewed and worked on approximately 56 cases. Some of these cases resulted in extensive administrative hearings.

We have had a number of nursing home receivership actions including the Grant Hill, Golden Hills, and Woodland nursing homes. Other cases have continued in this fiscal year from previous years. A notable enforcement action was brought against one facility in which a Consent Order was entered forcing the sale of the facility to a new and hopefully improved management. For its inappropriate use of restraints, Elmcrest Psychiatric Hospital was required to enter an agreement with the Department of Public Health which included a \$100,000.00 payment to a children's' trust fund.

In the licensing area, a recent trend has been for licensees to avoid the State's regulatory licensing boards by seeking judicial intervention in administrative proceedings. A number of cases have been representative of this trend. They include Breiner v. Department of Public Health and Connecticut State Dental Commission, in which the court refused to preclude the Board from adjudicating the matter after a ten-day trial. Also of note was John Doe v. Department of Public Health in which a physician took an interlocutory appeal when the Board refused to dismiss a Statement of Charges claimed to have been filed out of time by the Department of Public Health. The Appellate Court affirmed the Superior Court's decision dismissing the case. An action was also brought under the Federal Civil Rights Act claiming a violation of rights by an individual denied a license by the Department of Public Health. The Appellate Court upheld the Department's decision in D'Amico v. Johnson.

An area that has been of increasing importance involves applications for medical assistance for nursing home care to the Connecticut Department of Social Services under the Title XIX Program. As a result of active financial planning, applicants have utilized a number of strategies to seek to avoid paying for this care. In Eleanor Bezzini v. Department of Social Services, assets left by a spouse of a Medicaid applicant to children by way of revocable inter vivos trust, rather than to applicant spouse, was determined to be an improper transfer of assets disqualifying the applicant for benefits.

A rather technical case, O'Callaghan Commissioner of Social Services, was decided by the Appellate Court involving the minimum monthly needs allowance and the appropriate determination of whether assets are income producing or not. The case will provide guidance in the future in this area, and the Department, on remand, was ordered to determine what amount of resources in question could be transferred. In a Supreme Court decision, Ahern v. Thomas, the Court held that the assets of a trust were not available to the Medicaid applicant and could not be counted in the person's application for Medicaid.

The number of referrals and requests for assistance from the Protective Services for the Elderly Program have increased dramatically. Many of these cases involve Probate Court actions to ensure an elderly person receives the proper care so that the individual's person or assets are protected.

One of the areas in which legal services have increased involves defending the staff of the Department of Mental Health and Addiction Services facilities, particularly those in the maximum security facility, Whiting Forensic Institute. We have had dozens of lawsuits filed by patients claiming their rights were violated for seemingly insignificant actions by DMHAS staff. These cases are intensive and involve a significant amount of work. We have had at least three Second Circuit appeal decisions in the past year upholding the actions of the staff and numerous District Court cases.

Finally, the application of managed care systems to the Title XIX Medicaid Program has resulted in a substantial increase in legal services provided to the Department of Social Services as it contracts with managed care organizations to replace the fee for service system. Department XI attorneys provided legal advice in drafting and negotiating the contract between the Department of Social Services and managed care organizations for the 231,000 Medicaid recipients enrolled in managed care through the Husky A program. These contracts totaling approximately \$500,000,000 were redesigned with increased emphasis on quality and accountability in order to help to ensure that program beneficiaries receive the necessary services that the organizations are contractually obligated to provide. Also in the area of managed care, Department attorneys drafted and reviewed regulations for the Husky A program and worked with the Department to develop contracts for the Husky B program (a health insurance program

for children not eligible for Medicaid).

Education and Mental Retardation Department

The Education and Mental Retardation Department represents the State Board of Education, the Board of Governors for Higher Education, all constituent units of higher education, the Department of Mental Retardation and several other related agencies.

In Sheff v. O'Neill, the department devoted significant resources to defending the steps the legislature has taken to reduce racial isolation in the Hartford school system. The plaintiffs had moved the Superior Court to determine whether extensive 1997 and 1998 legislation responsive to the state 1996 Supreme Court decision complied with the Connecticut Constitution. After a month long hearing in late 1998, in which the Superior Court examined the initiatives and programs put in place as a result of the legislation, the court ruled in March 1999 that the state is responding in good faith to the Supreme Court decision and its present remedial programs do meet constitutional requirements. In Packer v. Thomaston Board of Education, the department drafted an amicus brief supporting the constitutionality of the school expulsion statutes; which were subsequently upheld by the state Supreme Court. The department also drafted an amicus brief to assist the Waterbury Board of Education in a temporary injunction proceeding in Byars v. City of Waterbury, a case challenging its school dress code. The Superior Court found the dress code is rationally related to protecting the health and safety of students and to eliminating classroom distractions and disruptions.

In Adebayo v. State Department of Education, the department disposed of a claim of a student who contended she was improperly expelled from an adult education nursing program at a vocational-technical school. In Gallagher v. Southington Board of Education, the department mediated settlement of a special education case of a blind student against his local school board by obtaining adaptive equipment for the student through the Board of Education and Services for the Blind. Also in the special education area, the court in Naugatuck Board of Education v. Mrs. D. held that the state's special education procedures comply with controlling federal law. In Connecticut State Library v. FOIC, the department prevailed for the third and final time in an appellate forum in a case seeking the disclosure of confidential documents in the custody of the State Librarian.

The department disposed favorably of several cases in the higher education area. In Etim v. Board of Trustees of the Connecticut State University System, the Second Circuit Court of Appeals affirmed a jury verdict upholding the non-renewal of a faculty member of a state university. In Podgurski v. Garibaldi, the court upheld of the University of Connecticut Health Center's right and responsibility to refer a resident physician for an impaired physician evaluation and to terminate the resident. In Kirkendall v. University of Connecticut Health Center, the department obtained an evidentiary dismissal of multiple federal and state civil rights claims by a former employee. The department prevailed on behalf of the defendants in Micale v. Kapper, an action alleging sexual harassment of a student by a Central Connecticut State University faculty member. In Golodner v. Three Rivers Community-Technical College, the department successfully defended the community-technical college system's uniform student conduct policies and procedures. In another student discipline case, Montello v. University of Connecticut, the U.S. District Court dismissed a lawsuit for \$1,250,000 by a student who was suspended through a student disciplinary panel proceeding for his involvement in campus rioting during the 1998 Spring semester. Department attorneys are presently representing the University of Connecticut in a declaratory ruling proceeding before the Department of Public Utilities Control on the issue of whether the University may establish its own satellite master antenna television system, on campus in lieu of subscribing to the local cable system, thereby lowering costs to the University and its students.

The department's higher education activities were not limited to litigation; it did much counseling and related work which helped avoid litigation as well as transactional work. For example, the department's attorney at the University of Connecticut Health Center gave on-going advice to a special investigations committee about alleged scientific misconduct by faculty members and gave in-service training to faculty and staff on fraud and abuse and on corporate compliance issues relative to research grants. They also negotiated business agreements with large community physicians groups to serve as both clinical and academic divisions within the Health Center, negotiated licenses with several telecommunications providers for their use of Health Center facilities, and negotiated and drafted clinical trial agreements with major phar-

maceutical companies.

In addition to the counseling on personnel and governmental matters, the department's attorneys at the University's main campus assisted the University in numerous areas such as with a comprehensive revision of its drug testing policy for student athletes, with environmental issues at the Stamford campus, with Y2K compliance issues, with placement contracts with health care institutions that serve the Schools of Nursing and Allied Health and with the proper administration of the student conduct hearing process. The department's attorney assigned to the Connecticut State University System either directly resolved or assisted the system's universities in resolving short of litigation a significant number of personnel situations involving administrators and faculty. He also guided various university officials through other sensitive issues such as trademark claims and the reporting of potential NCAA violations.

In the mental retardation area, the department effectively concluded consent decree proceedings in CARC v. Thorne, an action which led to the closure of the Mansfield Training School. The department has been on trial since January in Messier v. Southbury Training School (STS), a federal action in which the plaintiffs seek the closure of STS. Also the department has spent considerable time working with the court-appointed special master in USA v. Connecticut, a case involving care and treatment at STS, to make certain that new processes developed are beneficial to the residents and fair to the taxpayers. The department successfully maintained a receivership proceeding, O'Meara v. IAIPD, against a financially distressed provider before it terminated its operation of six group homes; as a result, the homes continued to serve its mentally retarded residents while a new provider was located and assumed operations of the homes. The department successfully disposed of a defamation case, Loges v. Commissioner of Mental Retardation, brought by the administrators of a private agency who were removed as the result of a DMR investigation.

Through the department's representation of its agencies at the fact-finding before the Commission on Human Rights and Opportunities, several complaints were found to be without merit and were dismissed. The department also prevailed in numerous Claims Commissioner cases.

Workers' Compensation Department

The Workers' Compensation Department represents the Treasurer as the Custodian of the Second Injury Fund, the Workers' Compensation Commission and the Department of Administrative Services in its capacity as the administrator of the state employees' workers' compensation program. The department staff represent the Second Injury Fund in cases involving potential liability of the Fund for workers' compensation benefits and the State of Connecticut in contested workers' compensation claims filed by state employees. The department's attorneys and paralegals also spend significant time on third party tort-feasor cases which result in the recovery of money for both the state and the Fund. Finally, the Department attorneys handle a large number of appeals to the Compensation Review Board and to the Appellate and Supreme Courts.

During the past several years there have been several major changes in the operation of one of the Department's major client agencies, the Second Injury Fund, culminating with the closing of the Fund to new transfer cases as of July 1, 1999. The Fund will remain in existence, handling those cases which have been previously transferred to it, as well as cases where the employer failed to carry workers' compensation insurance and those cases involving concurrent employment. During this past fiscal year, Department attorneys and paralegals appeared for the Fund and the State in over 2,500 hearings before workers' compensation commissioners.

In addition, Department 13 attorneys and paralegals were responsible for the recoupment of over \$141,000.00 for the Second Injury Fund and over \$585,000.00 for the State of Connecticut through third party interventions. This is money which has been paid out in benefits for injuries caused by a third party. The State is able to intervene in actions filed against those third parties and may recover money as part of a settlement or judgment.

Affirmative Action

The Office of Attorney General pursues the development of equal employment opportunities through its affirmative action program. By the end of the fiscal year, 49.1 percent of the full-time attorney workforce consisted of women and minorities. Women and minorities composed 70.0 percent of entry level attorneys and 48.1 percent of middle and high-level attorneys.

Auditors of Public Accounts

At a Glance

ROBERT G. JAEKLE and
KEVIN P. JOHNSTON, *State Auditors*
Thomas J. Dovidaitis, *Deputy State Auditor*
Established - 1662
Statutory authority - CGS Title 2, Chap.23
Central office - State Capitol,
Hartford, CT 06106
Average number of full-time employees - 94
Recurring operating expenses - \$6,774,104
Capital outlay - \$92,050
Organizational structure - Audit Operations
and Administrative Unit

Mission

•*Determine whether state agencies complied with applicable state and federal legal requirements. Determine whether state resources are properly and prudently safeguarded and used.*
•*Attest to the accuracy and fairness of the state's financial statements and provide a certification thereto*
•*Perform the annual Statewide Single Audit required by the federal government*
•*Evaluate the state agencies' economy, efficiency and effectiveness in using available resources*
•*Evaluate program results considering costs and benefits*
•*Ensure that all audit results are properly disclosed to management and the public*
Investigate whistleblower matters

Statutory Responsibility

The goal of the office of the Auditors of Public Accounts is to serve the public interest regarding fiscal and compliance matters related to the State of Connecticut. To accomplish this goal the Auditors provide independent, unbiased and objective opinions and recommendations on the operation of the state government and the state's effectiveness in safeguarding resources. The Auditors strive to assist state agencies in achieving effective fiscal management. Further, the Auditors report on the integrity of the state's financial statements and whether federal funds provided to the state are used in compliance with applicable laws, rules and regulations. All reports have a wide distribution, which includes state officials, federal and state organizations, the media and the interested public.

Improvements/Achievements 1998-99

The work of this office is evaluated annually by representatives of the various Federal Inspectors General's Offices and, every three years by an independent accounting firm. The latest such independent accountant review, commonly referred to as a peer review, resulted in a very favorable unqualified opinion of the office's system of quality control to ensure conformance with professional standards.

As noted in prior administrative reports, the realignment of the audit assignments to coincide generally with the functions of state government led to the establishment of an audit group specifically focused on higher education. This audit group is providing audit certification to financial statements of the University of Connecticut, in connection with the UConn 2000 program. Such audits are in lieu of contracting out for such services. Also, the planned timetable for auditing of the Connecticut State University's unified financial statements has been delayed; however, this office still plans to assume responsibility. When this is accomplished, the University will no longer need contracted audit services, thus providing additional savings to the state. In addition this office has continued to offer services for special audits required under NCAA rules and foundation audits, upon request, as permitted by Public Act 96-244.

In connection with audits of the Offices of the State Comptroller and State Treasurer, this office continues to provide special audit services in connection with the Comprehensive Annual Financial Report, the Combined Investment Funds and the Short-Term Investment Fund. In

addition, Section 2 of Public Act 97-212 of the regular session of the 1997 General Assembly requires the State Treasurer to submit a final audited report to the Governor and the Investment Advisory Council on or before October 15 of each year. Previously there had been no deadline for auditing. This office provided certification of the Treasurer's Annual Report on this very short timetable. Other requests for audit services were also met in a professional and timely manner without the need for outside professional assistance.

Another improvement in operations has come as a result of implementing a more automated approach to auditing responsibilities. In connection with larger and more permanent audit assignments, we have equipped the audit teams with more sophisticated computer hardware and software in order to interface with the financial information systems at the agencies. The field audit personnel have been issued notebook computers with appropriate software installed to permit acceptance and use of worksheets, questionnaires and audit checklists in electronic form.

The office has an established Information and Technology Planning Committee within its office. Among the more crucial recommendations of the Committee were calls for the installation of a computer network in the office to take advantage of the ability to exchange data within the office and with other agencies or organizations, the establishment of a telecommunications link to the Connecticut Administrative Technology Center of the Department of Administrative Services and the purchase of computers with a faster processing speed and expanded memory.

Because of the increased reliance the office places on computer technology in order to carry out its assigned mission, the agency found it necessary during this past year to establish a separate technical support function within the office. To this end a full-time data processing analyst was hired in order to enable our office to adequately meet the growing demands that technology usage was placing on professional staff.

In addition, due to the increasing numbers and complexity of computerized systems in state agencies, the office has received budgetary approval to increase the maximum number of employees to create an Automated Data Processing Unit. This unit will specialize in the auditing of complex computer systems. It will also consult with other audit teams.

Further, with regard to technology developments within the office, one of the major thrusts of the technology plan that was adopted for the first year of the current biennial period involves the scheduled replacement of all agency software and hardware deemed to be non-Year 2000 compliant. Based on initial assessments that were conducted by an outside consultant, our office appears to be on target to complete this scheduled replacement of hardware and software utilizing budgeted funds normally provided to the office. The agency is currently in the process of performing tests as part of an effort to validate the data that was collected during the initial assessment phase. This office anticipates that all software and hardware will be Year 2000 compliant well before the end of calendar 1999.

In addition to being able to better serve the technical needs of staff and address year 2000 issues within the office, the establishment of a separate technical support unit enabled this office to publish its own website on the Internet (www.state.ct.us/apd). A key feature of this website is that it provides for the electronic distribution of audit reports via the Internet. Accordingly, members of the public and other interested parties who have access to a computer may now download, for viewing and/or printing, copies of reports issued by the office. In addition, general information about the operations of the office can also be found on this website. It should be noted that further implementation of Internet technology by the office is planned during the coming year.

Strategic Planning

Increased efficiency and productivity are needed, particularly at this time, because of increased demands being placed on this office as a result of recent changes at the federal level. In June 1996 Congress passed and on July 5, 1996, the President signed the Federal Single Audit Act Amendments of 1996. These Amendments changed the way federal programs are selected for audit. Rather than selection on dollar basis criteria, programs will be selected for audit following a risk-based approach. Such an approach, which was in effect for the 1998-1999 audit year, requires an assessment of risk for many more programs than previously. In addition the time frame for doing such audits is to be reduced from 12 to nine months. This office completed its planning to meet the federal audit timetable, which takes effect in the 1999-2000 audit year. This includes the re-allocation of scarce auditing resources.

For the coming year, one of our principal objectives continues to be expansion of performance audit operations. Although financial-compliance auditing continues to be the principal responsibility of this office, the mission of the Auditors' Office also includes an examination of performance in order to determine the effectiveness of an agency in achieving its expressed legislative purpose. The established Performance Audit Team devotes its time mainly to performance auditing, usually focusing on a particular program administered by a state agency. In addition, the office created a unit specializing in the auditing of complex computer systems. Developing, training, and selecting assignments for this unit will be important activities of the coming year. As noted in the office's mission statement, it has the responsibility to investigate whistleblower matters. In the past whistleblower complaints were mainly reviewed by field auditors; however, as a result of the amount of work involved and to clarify functions, the office decided to institute within its Whistleblower Unit, auditors dedicated to reviewing complaints on a statewide basis.

During the 1997-1998 fiscal year, the office issued 68 audit reports and special reports. These included a performance audit, 21 special audits, 44 financial related audits of various state agencies, the annual report to the General Assembly, and the Statewide Single Audit Report for the State of Connecticut for the fiscal year ended June 30, 1998. This latter audit is required as a condition of the state receiving more than \$3,700,000,000 in federal financial assistance.

A total of 20 matters were formally reported to the Governor, Legislative Program Review and Investigations Committee, and others, under the provisions of Section 2-90 of the General Statutes. Numerous less serious matters such as minor acts of vandalism were reported collectively by memoranda. Some Whistleblower complaints were investigated and several of them were covered in the 20 formal letters to the Governor. Assistance was rendered to members of the General Assembly as requested by them.

A total of 393 recommendations were included in the 68 audit reports and special reports issued during the year. These reports also included a review of the implementation of recommendations made in the prior audits of the agencies audited in 1998-1999. Implementation follow-up procedures, in addition to agency responses to the Auditors' audit findings and recommendations, include reviews by the Comptroller, the Office of Policy and Management and the Legislative Program Review and Investigations Committee. Agencies implemented 56 percent of the prior audits' recommendations.

This office in all staff appointments, promotions and training observes the principles of equal employment opportunity. Particular improvement has been made in recent fiscal years in the career advancement of minority staff members, resulting in promotions to higher technical positions and increased earnings. Intensive efforts to recruit minority members have been continued.



Department of Banking

At a Glance

JOHN P. BURKE, Commissioner
Established - 1837
Statutory authority - CGS Titles
36a and 36b, and Related Laws
Central office - 260 Constitution Plaza,
Hartford, CT 06103-1800
Average number of full-time
employees - 145
Recurring operating expenses -
\$12,692,890
Organizational structure - Administra-
tive Division; Bank and Credit Union
Regulation Division; Consumer Credit
Division; Securities and Business In-
vestments Division

Mission

The mission of the Department of Banking is to ensure the safety and soundness of the depository institutions it regulates, and to administer and enforce the state's banking and related laws, with the ultimate goal of protecting Connecticut's consumers.

Statutory Responsibility

The Department of Banking is responsible for the regulation and examination of financial institutions and various related entities chartered, licensed or registered by the state. The banking commissioner is charged with administering the banking and credit union laws of the state as well as the laws regarding securities, tender offers, and business opportunities. The banking commissioner also administers the Truth-in-Lending Act, other consumer credit laws, and a major portion of the law concerning rental security deposits.

Specific regulatory functions are assigned to divisions within the department.

The Bank Examination Division is responsible for the supervision of state-chartered bank and trust companies, savings banks and savings and loan associations. The division also supervises bank holding companies, licenses money forwarders and check cashing services, and has responsibility for analyzing applications for new charters, acquisitions, mergers, branches, and changes in corporate structure.

The Credit Union Division supervises state-chartered credit unions. It has responsibility for analyzing applications for new charters, mergers, requests for field of membership expansion and changes in corporate structure.

The Consumer Credit Division is responsible for the enforcement of Connecticut's laws concerning small loan companies, sales finance companies, debt adjusters, first mortgage lenders and brokers, secondary mortgage lenders and brokers, consumer collection agencies, Truth in Lending, and other consumer credit laws.

The Securities and Business Investments Division is responsible for the registration of securities and business opportunity offerings for sale in Connecticut; the registration of broker-dealers and investment advisers, along with their agents and branch offices; the examination of broker-dealer, investment adviser and branch office registrants; and enforcement of the state's securities, business opportunity and tender offer laws.

The department's customers include the general public, representatives of the public, regulated entities, and consultants. The public at large, including depositors, borrowers, investors, landlords and tenants, and others who use the services of regulated financial entities, benefits broadly from agency activities. Agency services protect public funds in depository institutions, offer important investor and consumer protections, assist in dispute resolution and provide valuable public information.

Representatives of the public, including the Governor and the General Assembly, other elected and appointed officials and federal, state and municipal agencies, receive information, advice, proposed legislation, case referrals and other important services from the department.

Financial entities are subject to regulatory oversight.

Consultants, including laws firms, accounting firms, consumer advocacy groups, trade associations and others, receive information, advice, policies and guidelines from the department.

Public Service

The Department of Banking is strongly committed to maintaining a standard of excellence in meeting its regulatory responsibility, while being responsive to Governor Rowland's desire to make Connecticut business friendly.

As a basic, fundamental part of its mission, the department is committed to protecting Connecticut citizens in transactions with financial institutions, as directed by state statutes, and in assisting with complaints and dispute resolution. Consumers are urged to contact the department whenever they may need assistance in dealing with financial institutions. Individual divisions stand ready to promptly assist consumers with issues involving banks, credit unions, mortgage lending and other consumer credit matters, rental security deposits, and matters relating to securities and business opportunity investments.

As a means to provide the public with convenient access to information, the department maintains a website on the Internet at www.state.ct.us/dob. During 1998-99, the department significantly expanded the web site's content to over 900 linked files and continued to update site information on a daily basis. Traffic to the site, correspondingly, increased substantially. The department's webmaster also played an active role as a sub-committee chairman for the Connect Management Advisory Committee (CMAC) which manages the State of Connecticut website.

The Bank Examination Division devoted considerable effort during 1998-99 to providing the public with meaningful information regarding the Year 2000 date change, and its potential to affect computer systems used by the banking industry. Division personnel spoke to many groups, often at senior citizen centers in recognition that seniors may be targeted by Y2K-related scams.

Division examiners continued to receive training in effective manual and automated examination techniques, both to improve examinations and to reduce the regulatory burden faced by Connecticut institutions.

The Bank Examination Division developed extensive information for the agency's website, including an outline of the chartering process for new banks, background information on the nation's banking system and significant Year 2000-related information.

During fiscal year 1998-99, the Business Office processed over 360 contracts with a total dollar figure of approximately \$2 million. This activity included a major EDP upgrade of systems technology, accompanied by agency wide training for new software applications.

In the last fiscal year, the Consumer Credit Division's complaint function showed continued improvement in the area of adjustments and reimbursements to consumers. During the period, reimbursements and adjustments to consumers from the complaint handling process grew from \$690,359 to \$989,078, an increase of over 40 percent from the previous fiscal year.

The Credit Union Division intensified its oversight of credit unions' work during 1998-99 to remediate and test computer systems for the Year 2000 date change. An examiner was assigned to work full-time on the issue. At mid-1999, the division was pleased with the progress of state-chartered institutions in their preparations for Y2K.

The Legal Division continued to provide the public and regulated entities with compilations of the statutes and regulations within the jurisdiction of the Department of Banking and certain other related statutes. The compilations are periodically revised as necessary to reflect legislation enacted by the General Assembly or changes in regulations. They are available for free access on the department's web site.

As a source of information for consumers and investors, the Legal Division continued to post copies of administrative orders, consents and stipulations related to consumer credit or securities and business investments matters on the Internet.

In addition, the Legal Division created an index of its business opportunity advisory interpretations for use by the public in researching business opportunity issues. The index cross-references the Commissioner's opinions by subject matter with a brief description of the position taken, statute and public act referenced.

The agency's security deposit investigator resolved 285 landlord tenant disputes during fiscal year 1998-99 and recovered \$48,459 for Connecticut residents who had complained that

landlords had unjustly withheld their refundable rental security deposits.

A major goal of the Securities and Business Investments Division is to foster a healthy, competitive business environment by protecting the public from securities and business opportunity-related frauds and other abuses that hinder legitimate enterprises in raising needed capital. The division continued to pursue this goal in 1998-99, re-focusing resources in light of The National Securities Markets Improvement Act of 1996 (NSMIA). Among other things, NSMIA preempted state regulation of larger investment advisers that have assets under management in excess of \$25 million. In doing so, NSMIA ceded to the states the primary regulatory responsibility for all other investment advisers. These advisers generally conduct business on a more regional or local level. As a result of NSMIA, the division renewed its emphasis on licensing, examination and enforcement.

The Securities Division increased its accessibility to the Connecticut investing public, the securities industry and other groups during 1998-99. A Securities Advisory Council, composed of industry representatives, academics and members of the bar, all of whom served without compensation, offered insight on new regulatory initiatives. The division also continued to work with companion regulators at both the state and federal levels to ensure a consistent, even-handed approach to regulation.

Personalized attention was provided to new applicants for broker-dealer and investment adviser registration based in Connecticut through tailored "pre-registration meetings." Potential registrants were briefed on their compliance responsibilities, advised on what to expect during a division examination and afforded an opportunity to question staff. Similarly, small issuers seeking to raise capital in the state were encouraged to meet with staff to walk through the process of complying with securities law requirements.

The Securities Division partnered with Southern Connecticut State University in publicizing the Access to Capital Electronic Network, or ACE-NET, a dynamic, Internet-based means for investors and entrepreneurs to find each other through listings of securities offerings of small, growing companies located throughout the country. ACE-NET makes it easier for entrepreneurs to obtain equity financing from accredited investors (called "angels") in amounts typically too small - \$250,000 to \$3 million - to attract most venture capitalists.

Following NSMIA, the Securities Division rededicated itself to enforcement and fraud prevention. Division intervention in ensuring that Connecticut investors receive rescission and restitution remained a primary objective, as did the disgorgement of ill-gotten gains by violators of the state's securities laws. During the fiscal year, informal Securities Division intervention resulted in \$10.5 million being offered and/or returned to Connecticut investors. In addition, monetary sanctions imposed by the division for violations of state law totaled \$687,600. The division also continued to encourage dialogue with broker-dealers experiencing compliance and operational difficulties, and required that they file periodic status reports until the problems were resolved.

The division strives to keep its personnel apprised on key regulatory developments through internal and external training programs, frequent staff meetings and staff input into the decision-making process. Cross-training efforts have enabled division staff to be flexibly assigned to critical work tasks.

The Banking Department places a high priority on outreach to the public. The banking commissioner and staff frequently address consumer, industry, student and other groups. During 1998-99, this effort concentrated on the Year 2000 date change and financial institutions. Department spokespersons addressed community groups, news releases and op-ed articles were submitted to the media, and a comprehensive directory of information was posted on the department website, including interactive pages with information on Y2K contacts at banks and credit unions.

The department also undertakes educational efforts to help the public understand services provided in the financial marketplace and recognize fraudulent investment offers. A report on the financial condition of depository institutions is published annually; a weekly Bulletin provides information on applications before the agency and intended changes in regulations; a Securities Bulletin is published quarterly to update industry on regulatory developments; and investor education and other publications are produced.

Improvements/Achievements 1998-99

Commissioner John P. Burke held the prestigious position of Chairman of the Conference of State Bank Supervisors (CSBS) from May 1998 to May 1999. CSBS is the professional association of state officials responsible for chartering, regulating and supervising the nation's state-chartered banks and state-licensed branches and agencies of foreign banks. Commissioner Burke was the first banking commissioner from Connecticut to serve as chairman of the national group, which was created in 1902.

The Bank Examination Division continued its program to ensure that all state-chartered banks are prepared for the Year 2000 date change. This effort involved special examinations, stringent time lines and intensive follow-up. Banks were required to review and test all critical systems for Y2K readiness. During 1999, each bank was examined twice as the focus of the examination program shifted from remediation to testing. Banks are required to have compliant hardware and software that will operate normally through the century date change. While preparatory efforts completed by the banking industry have been very extensive, it is still possible that problems may occur. Nevertheless, the division feels that any Y2K problems will be short-lived and financial business will not be disrupted.

In March 1999, the Bank Examination Division began using the General Examination System (Genesys), an examination software product developed by the FDIC, Federal Reserve and CSBS. The software is an automated workstation that performs many of the routine functions that previously took examiners long periods of time to complete. With this automation, examiners can now concentrate their focus more specifically on those areas considered to pose significant risks to banks.

Each year the department, with the coordination of the Government Relations and Communications Division, conducts an active legislative program. During the 1999 legislative session, six department proposals concerning banks, consumer credit, credit unions and securities were enacted into law.

One proposal, Public Act Number 99-158, allows Connecticut banks to engage in activities permitted under federal law for federally chartered banks and to engage in certain closely related activities. Giving Connecticut banks powers equivalent to those of national banks will enhance the state bank charter. These additional powers will enable Connecticut banks to meet the demands of an ever-changing marketplace and provide a wide array of services to consumers. This proposal will also expand the state banking system by permitting a new form of Connecticut bank, known as an uninsured bank.

Another proposal, Public Act Number 99-18, gives the Commissioner the authority to take enforcement action against a bank or credit union that is not reasonably expected to avoid or protect itself against a failure of its computer-based information systems relating to the Year 2000 date change. This legislation is vitally important to clarify the Commissioner's enforcement powers in order to protect the public.

The Business Office's purchasing unit achieved the state's highest percentage use of minority vendors on contracts – 19.3 percent or \$458,692 – during 1998-99. The Commission on Human Rights and Opportunities published this statistic in its annual report to the legislature, "Minority and Women Business Enterprises in State Contracting."

Over the past fiscal year, the Business Office participated with the MIS unit in designing a new financial module for recording and charging revenues to accounts and functions correctly. The new module has been installed and is undergoing final testing.

The Business Office enhanced its budget iteration process to include the use of revenue collections and projections to match against expenditures. This has allowed the agency to determine at the division level which programs and functions are generating surpluses and deficits.

During the year, the Consumer Credit Division revised its license renewal process. Previously, licensees were required to resubmit information that already existed in the division's database on renewal applications. Entities are now being sent a renewal application that is nearly complete and licensees need only provide the changes that occurred from the previous filing. The new process is less labor intensive for applicants, and will make the application process more efficient by eliminating technical errors and delays caused by the need for corrections.

The Department, working closely with the Department of Information Technology (DOIT), completed the process of upgrading its computer hardware, system software and application

software systems to be Year 2000 compliant. In achieving Y2K compliance, the department also completed the initial phase of developing a Department of Banking Integrated Information System (DBIIS). The Management Information Systems Division will now begin expanding and enhancing agency applications to provide additional services.

The Personnel Office continued to offer training to department employees to improve their skill and job performance. During 1998-99, employee courses were offered in computing skills training.

Three department employees, Michael Buchas and Richard Lalor, of the Consumer Credit Division, and Eustacia Williams, of the Management Information Systems Division, received Governor's Service Awards for exceptional customer service during 1998-99. Messrs. Buchas and Lalor work as bank examiners, dedicated exclusively to assisting consumers with complaints related to credit card transactions, mortgage processing, vehicle repossessions, debt collection, credit reporting and more. Eustacia Williams, an Automation Systems Specialist, directs and maintains an Information Technology Help Desk.

The Securities Division continued to cooperate with other jurisdictions in combating the high-pressure sales tactics and unlicensed activity frequently associated with low-priced, micro-cap stock sales. The division's rigorous investigative process resulted in several administrative actions against brokerage firms and their agents, and heightened public awareness of improper practices in the stock market.

Throughout 1998-99, the division continued its active role in the North American Securities Administrators Association, thus ensuring that Connecticut securities regulation was responsive to new developments and uniform with that of other jurisdictions. The department's participation with other agencies and self-regulatory organizations in enforcement database systems proved instrumental in enhancing agency enforcement efforts.

During 1998-99, the division continued to rely on the Internet as an enforcement and research aid. Particular emphasis was placed on "chat rooms" and bulletin boards where low-priced securities were commonly touted with little or no accurate disclosure. The division's investigative use of the Internet resulted in several administrative actions against persons allegedly hyping an issuing company's stocks or financial prospects. The division also continued its cooperative effort with the Federal Trade Commission in "surfing" the Internet for business opportunity frauds.

The division also continued its active participation with other states in developing uniform standards for the regional review of certain securities offerings. Those offerings consisted of small issues of up to \$5 million registered via the Small Corporate Offering Registration (SCOR) or made pursuant to federal Regulation A. The department also adopted an accredited investor exemption from securities registration which greatly facilitated the ability of venture capitalists to find investors through traditional avenues and electronic means such as ACE-NET.

On October 19, 1998, the Securities Division sponsored its tenth annual Securities Forum. Approximately 330 securities industry professionals and others attended the daylong conference. Through a series of breakout seminars and general session presentations, Securities Forum '98 fostered an open dialogue with regulated individuals and entities and encouraged the free interchange of ideas.

Reducing Waste

The Department of Banking continually reviews agency operations to improve efficiency, reduce costs and foster innovation. The banking commissioner encourages employee suggestions regarding the department's policies, procedures and practices, with the goal of identifying any inefficient or redundant operations and simplifying government.

One of the major tasks facing government is to optimize the use of technology to improve operations and provide more efficient public services. The Bank Examination Division has posted the majority of its forms on the department's web site to improve their accessibility. The division is also using the most advanced automation tools available to complete examinations in a timely fashion.

During fiscal year 1998-99, the Business Office initiated new procedures and controls in the department mailroom. The measures serve to effect a stricter accounting of parcels and mail items both sent out and received. In addition, the measures now allow the Business Office to generate monthly management reports that quantify mailroom activity.

The Consumer Credit Division recently obtained the ability to print two-sided license applications. By duplex printing applications, the amount of paper used in the license renewal process has been significantly reduced. The reduction in paper usage saved money both on the cost of supplies and in postage.

In 1998, the Legal Division instituted a process of reviewing publications to determine whether the continued subscription to such publications is warranted. The process, which involves the circulation of a publication subject to renewal among attorneys for their review and interest in continuing the subscription, realized a saving of \$2,200 in 1998-99.

The Securities Division continued to explore ways automation might be used to increase efficiency and eliminate waste. Through the agency's MIS Division, an in-house investment advisory and securities registration database was developed. In addition, the Securities Division began preparing for the August 1999 debut of Web-CRD, an Internet-based platform that would replace the current Legacy-based Central Registration Depository System (CRD). CRD provides a means by which broker-dealers and their agents can file for registration in multiple states and with the NASD by using a centralized depository.

The division also encouraged greater use of e-mail and reliance on the department's website in its communications with the securities industry and the investing public. By posting forms on the department's web site, the division decreased paper mailings by 50 percent. Through its participation in NASAA, the division was also in a position to closely monitor discussions with the Securities and Exchange Commission concerning the development of a nationwide electronic registration depository for investment advisers. The division has also continued its practice of establishing informal benchmarks to ensure that there are no unnecessary delays in the processing of registration and licensing applications.

In the securities registration area, reviewed material is sent to off-site storage promptly after critical data has been entered in the computer system, minimizing the need to create and maintain paper file folders in-house.

Strategic Planning

In striving for continued excellence in regulation, the agency devotes considerable effort to strategic planning.

Senior managers and key department employees during 1998-99 continued a comprehensive process of analyzing agency work flow and activity as part of the development of a Department of Banking Integrated Information System (DBIIS).

Bank Examination Division managers prepared a 1998-99 strategic plan and met monthly to discuss progress in achieving its goals. Division goals include:

- To investigate innovative types of state bank charters that would benefit the public;
- To make prudent and useful investment and activity powers available to institutions;
- To encourage out-of-state banks (domestic and international) to locate or relocate in Connecticut;
- To lessen the regulatory burden whenever possible;
- To work with the Management Information Systems Division to develop new automated business systems;
- To increase available public information; and
- To ensure institutions successfully prepare for the Year 2000 date change.

While results may vary, each goal has the potential to increase efficiency or raise revenues.

Consumer Credit Division management meets regularly with division staff to discuss ways to improve division workflow procedures and the manner in which staff members perform their duties. In addition, staff members are encouraged to submit suggestions regarding possible changes to business processes to increase the effectiveness and efficiency of the division.

Securities and Business Investments Division management proactively views strategic planning as an ongoing process, and regularly meets to discuss operational improvements. General objectives are periodically established and re-evaluated by management to ensure their success.

During 1998-99, the Securities Division became more attuned to regulatory issues raised by advances in technology. Such issues included stock promotions over the Internet; Y2K awareness; and use of technology to improve the division's enforcement and examination efforts. In addition, the division focused its examination efforts more extensively on local advisers within the state, continuing to shorten the examination cycle for such registrants. Evolving federal

policies and procedures continue to present challenges, as the financial services industry becomes more homogenized and global in scope. The division will continue to work with other states in developing a more uniform system governing investment adviser registration and participate in shared enforcement databases.

Equal Employment Opportunity and Affirmative Action

The Department of Banking is totally committed to providing equal employment opportunity on the basis of merit; to assuring nondiscrimination; and to implementing affirmative action and contract compliance, as required by sections 46a-60, 46a-68, 46a-70 and 46a-71 of the Connecticut General Statutes. The department's annual Affirmative Action Plan, approved by the Commission on Human Rights and Opportunities, reflects significant achievement in attaining a diverse workforce reflective of the institutions the agency regulates and the customers the agency serves.

As a regulatory agency, the Department of Banking takes every appropriate action within its statutory authority to promote equal opportunity in mortgage lending, consumer credit and other financial services.

The department continues to pursue aggressive outreach strategies through use of student internships that provide a meaningful entry into the workforce and exposure to state service. As part of this process, the Personnel Office attended an April 1999 career fair at Western Connecticut State University. The agency also hired summer workers from "Mayor Mike's Working Wonders" program sponsored by the City of Hartford.

Board of Education and Services for the Blind

At a Glance

KENNETH R. TRIPP,

Executive Director

Established - 1893

*Statutory authority - CGS Chapter 174,
Oldest Continuous Operating State
Agency for the blind in the United States.*

*Central office - 184 Windsor Avenue,
Windsor, CT 06095*

*Average number of full-time
employees - 119*

*Recurring operating expenses -
\$13, 826, 218*

*Organizational structure - Five Divisions
Children Services, Adult Services, Voca-
tional Rehabilitation Services, Industries
Program, Business Administration*

Mission

The State of CT Board of Education and Services for the Blind (BESB) is responsible for initiating, coordinating and implementing the education and training of Connecticut's blind and visually impaired children in order to maintain their academic, physical, emotional and social progress at age level, grade level or diagnosed ability level. BESB serves Connecticut's blind adults through ongoing educational, vocational and living skills programs in order to empower them to achieve employment success in their chosen profession and to enhance their self-sufficiency.



Statutory Responsibility

In 1999, the Board of Education and Services for the Blind completed 106 years of comprehensive statewide services to Connecticut's citizens of all ages who are legally blind. The board was established by legislative enactment in 1893, and is the longest continuously operating state agency for the blind in the United States. The Board of Directors is composed of six members appointed by the Governor. Board members for 1998-99 were Dr. Richard Fairbanks,

Chairperson, Mary Brunoli, Salvatore D'Amico, Kenneth Olson, Eileen Akers, Shirley Phelon and Patricia Wilson-Coker, Commissioner of Department of Social Services, who serves as ex-officio. The agency is attached to the Department of Social Services for administrative purposes only. Agency administration is the responsibility of the Executive Director, Kenneth R. Tripp, who was appointed by the Governor John G. Rowland in 1996.

The agency provides statewide comprehensive, community-based programs through a continuum of individualized education, rehabilitation and social services programs to adults who are legally blind and to children who are legally blind or visually impaired. The agency works with individuals and families to assist them in acquiring the life skills and support services necessary to function with independence in their homes, community, social avocational and vocational environments.

The Executive Director of the Board oversees the statewide delivery of comprehensive services for legally blind persons of all ages and educational services for legally blind and visually impaired children. The agency maintains a confidential registry of legally blind persons in Connecticut and 17,410 persons were registered in fiscal year 1998. Approximate distribution by sex and age: 57 percent female and 43 percent male; 8 percent under age 20, 15 percent ages 20-45, 12 percent ages 45-65 and 65 percent over age 65. It is estimated that there are 50,000-60,000 individuals statewide who are severely visually impaired. A person is legally blind if central visual acuity does not exceed 20/200 in the better eye with correcting lenses, or if the visual field is restricted to an angle of 20 degrees or less. A person is severely visually impaired if his central visual acuity does not exceed 20/70 in the better eye with correcting lenses.

Principal causes of blindness are: macular degeneration, diabetes, glaucoma and cataract. Six percent of persons registered are totally blind; seven percent can see light only, 87 percent have some useful vision. The agency has the statutory authority to certify and register individuals who are legally blind; it may register persons whose eyesight is seriously impaired and are liable to become severely visually handicapped or blind. All residents of the state who because of blindness or impaired vision are entitled to special education services.

The Board is empowered to receive federal funds for the provision of vocational rehabilitation services. It is actively involved in the prevention and conservation of eyesight and, may, with General Assembly appropriations, provide emergency funding for housing, personal care, medical and daily living needs. The agency may accept and receive any bequest or gift of personal property.

The Board is authorized to maintain and develop programs for training and employing individuals. For example, it has the authority to operate small business enterprise or vending facilities in buildings or property which is owned, operated or leased by federal, state, or any municipality; through cooperative agreements, and under state and federal law. The agency assists in securing benefits and services for individuals who are legally blind; acts as an advocate for all legally blind individuals; and, enforces all regulation and procedures enacted in accordance with provisions of Chapter 174 (Education of the Blind.)

The Board of Education and Services for the Blind subscribes to and continues in its efforts to achieve the goal of equal employment opportunity through affirmative action in the employment process. The Board has submitted and received approval for its affirmative action plan submitted during this fiscal year.

Public Service

In October, 1998, the agency moved to a new facility at 184 Windsor Avenue, Windsor, Connecticut. The new building houses the Executive offices, Administration, Adult Services, Children Services, Vocational Rehabilitation, BESB Industries, the Business Office; and the Business Enterprise Program. In addition, a new Low Vision Evaluation Center has been included; and, by the end of the year, CRIS Radio will share space. A satellite division of BESB Industries is located in West Haven.

This newer and larger facility provides the agency the opportunity to conduct business in a more professional environment. It is easily accessible by public transportation. The physical layout provides the required space for training, conducting public forums, accommodating support groups; as well as providing comprehensive community based services.

Agency activities are administered through five divisions: Adult Services, Children Services, Vocational Rehabilitation Services, Industries and Administration. The majority of com-

munity-based services are provided on the job, in the home; and, in the community, by education, rehabilitation and social services personnel.

Continued modification and upgrading of the agency's database system have resulted in overall improvements in all areas of service delivery and timely reporting.

Increased efficiencies in service delivery systems have not only enhanced timely service delivery but more cost efficient services.

Partnerships with private sector organizations and service organizations have expanded state-wide services to individuals who are legally blind at no additional cost to the state.

Two Regional Public Forums were held across the state and over 200 consumers, families and friends, local and state officials, met with the Executive Director and agency staff to discuss agency services and future service requirements. ADA compliance issues regarding sensitivity to visual loss were presented to federal, state, sector employees and education staff.

Streamlining mandates from state and federal directives have resulted in reorganization of interdepartmental operations, which has enhanced the timeliness of reporting, increased cost effectiveness and agency accountability.

A federal grant for the identification, training, and direct service delivery to persons 55 and older who are legally blind has enabled us to train community and convalescent home workers. It enabled the agency to help individuals maintain independence in their homes, develop opportunities for public and private service linkage; and, provided orientation and training for direct service providers.

As part of the outreach program, and with the cooperation of Office for People with Disabilities for the Archdiocese of Hartford, together with the Dioceses of Bridgeport and Norwich, the agency distributed posters and flyers to 390 churches throughout the state. The pastors exhibited the posters in the vestibules of their churches; and, copy the flyers and insert them in their Sunday bulletins. Posters and flyers were written in both English and Spanish.

In addition, with the cooperation of the Superintendents of Schools, flyers addressing parents and caregivers, were sent to 137 parochial schools, to be copied and distributed to their students and their families. These flyers also were written in English and Spanish.

With the support of the Director of Catholic Charities for the Archdiocese of Hartford, 1800 Spanish and 1725 English flyers were mailed to 7 organizations to be distributed to their members/clients.

English and Spanish posters were mailed to 90 Senior Centers and 60 Hispanic organizations and flyers were sent to 21 various religious organizations.

BESB enjoys the support of 410 volunteers statewide. These volunteers provide valuable services to our clients as readers, writers, shopping assistants, drivers, pre-braille readers for pre-schoolers and board members; as well as transcribing material to Braille. BESB volunteers coordinated the mailings listed above.

The efforts to continue to inform the public regarding our agency and recognize the importance of creating awareness for our sighted citizens regarding blind individuals, how to interact with them; and, familiarizing them with the assistive devices utilized by the blind.

As part of this process, the staff has been very active this year in these areas. The agency has conducted in-service training in 12 Social Security offices which included 255 employees, three training sessions for 21 individuals as part of Connecticut Transit bus drivers training, two sessions for the Department of Labor staff of 55, and three training session for the American Medical Response team comprised of 60 EMTs. The agency also held training sessions for 30 members of the Town of Windsor Fire and Police Departments, Info-line staff of 30, Girl and Daisy Scouts Councils totaling 150 children and staff, 15 members of the North Central Mental Health Board, 100 members of the congregation of the Temple Beth El, and 45 members of the Self Help Hard of Hearing Group.

In addition, staff members attended the Social Security Forum/Town Meeting, Department of Mental Health Awareness Day, Fidelco Walk, four Senior Center Health Fairs, Lions Screening at Hartford Hospital Outreach Program for the Latino Community, and the Governor's Committee on Employment of People with Disabilities.

The agency also conducted 11 accessibility studies including appropriate signage, directions, instructions, etc. to accommodate the vision impaired, for the Department of Labor field offices. Staff gave presentations to approximately 350 students at two schools on the use of canes and guide dogs to assist the blind. A program was presented, at our facility, to the mem-

bers of our Vocational Rehabilitation staff and Social Workers on social security issues and how they relate to our clients, and, a member of our staff assisted a student in completing a senior project on guide dogs and their relationship to the blind population.

Strategic Planning

Through a series of education seminars and outreach, the agency is directing a strategic plan to develop comprehensive working relationships with ophthalmologists, health care organizations and elderly service providers throughout the state. By developing an environment of interaction and cooperation with local service providers, BESB is educating them about blindness, the needs of the blind population and the availability of services through BESB.

A retreat is planned to review current Deaf-Blind legislation and the Cooperative Agreement with Bureau of Rehabilitation Services. Our goal is to develop a mission statement and set goals for the next two years. We will also explore the feasibility of establishing a laboratory consisting of devices for Deaf-Blind persons.

The agency is planning to conduct a survey to identify deaf/blind older individuals. We are contacting 39 Deaf/Blind Agencies to enlist their cooperation; inquire if they have conducted similar surveys and request their cooperation in providing us with any information that they feel would be helpful to us.

During the past year the Executive Director, Board of Directors, Agency Consumer Advisory Board and staff reviewed and reassessed the strategic plan for 1997-98. The agency reexamined its mission and determined that, although significant progress has been achieved in terms of improvements in service delivery to our clients and efforts to reach larger audiences, particularly those older individuals in need of our services, additional efforts will be implemented to enhance this progress. We will also assess the need for further progress in our efforts to improve the cost effective and performance strategies for the agency.

The following goals were identified to guide the agency into the next millennium:

- Increased interaction with state and local agencies, organizations and community groups.
- Expansion of the agency's outreach efforts to additional geographic locations
- in order to make our services more easily and readily available to the continually growing older blind population.
- Exploring additional opportunities to educate employers of the availability of skilled potential employees who are vision impaired or blind; and, the benefits associated with the employment of these individuals.
- Internal efforts will include centralization of the ordering/purchasing process which will reduce costs and make assistive devices more readily available for our clients.
- Intensive training programs providing improved communication skills, both telephone and interpersonal, for all of staff in their interaction with external and internal clients.
- Implementation of internal communication vehicles which will enable management to provide information to staff in a timely manner; and, provide for improved communication between divisions and the agency in general.

The BESB MIS project continues to move ahead technologically. The new system is expected to improve quality and timeliness of data reporting to allow stakeholders and other appropriate parties better access to information. These changes will better enable staff to devote time more effectively in providing necessary services to our clients.

Adult Services Division

The Adult Services Division operates under C.G.S. Sec. 10-297 and 10-305. It is comprised of Social Workers, Orientation and Mobility Instructors, Rehabilitation Teachers and Low Vision Consultants. The Division is responsible for the agency-wide intake of all referrals for adults and children. The Division provides individual and family support, information on services and assistance available through the Board of Education and Services for the Blind (BESB), as well as referral services to other agencies.

During the past year a total of 728 clients were referred for Orientation and Mobility Instruction, 662 were provided Low Vision Services, 362 consumers were referred for Vocational Rehabilitation and emergency supplementary financial assistance was granted to 34 consumers. 760 consumers were referred for instruction in personal management and communication skills

(typing and Braille), leisure time activities and home management. Other services provided include preventive eye care, the issuance of certificates of legal blindness, information and assistance in obtaining talking book services and Connecticut Radio Information Services. A total of 2,262 consumers were served during the year consisting of 1,287 new consumers and 975 follow-up cases.

The agency has a cooperative agreement to operate five statewide computer technology laboratories, housing various computer systems equipped with Braille, large print and speech output. Rehabilitation teachers instruct consumers in the use of this technology.

The Division continues to work closely with the Department of Aging due to the fact that 68 percent of registered legally blind persons are over the age of 65. One of the major goals of the Adults Services Division is to provide a comprehensive community based services program for assisting elderly legally blind persons to maintain their independence and remain in their own homes. It eliminates the potential for placing them in convalescent or rest homes where the average cost for a person to live in a custodial care facility is over \$60,000 a year and is eventually paid by state funded Title XIX.

Social Workers, Rehabilitation Teachers, Mobility Instructors and Low Vision Coordinators have conducted over 100 In-Service Training Programs in various community facilities serving persons who are blind. During the past year, BESB worked closely with five Independent Living Centers throughout Connecticut. This has resulted in an increase in the number of consumers served by both organizations.

The BESB Deaf/Blind Program, in conjunction with the Advisory Team, focuses on individuals ages 21 years and older, with dual sensory loss. Members of the program meet quarterly with the Review Team to review client cases referred by state agency and private sector service providers. In addition, a partnership was formed with the National Technical Assistance Corporation (NTAC), a division of the Helen Keller National Center for the Deaf-Blind. We have noted that there has been an increase in the number of referrals of individuals 65 years of age and older, experiencing dual sensory loss.

During the past year, the agency sponsored a new support group at its headquarters in Windsor, Connecticut. Ten persons, who have recently become blind, attend meetings at BESB once a month. They and their families meet others who are blind, share ideas and are informed about issues important to persons who are blind. This support group has received positive feedback and high praise from the participants. This group will continue to meet and the program will be expanded to additional geographic locations. Social Workers will continue to act as consultants to this and other support groups throughout the state.

BESB is in the fourth year of a four year Federal Grant from the US Department of Education entitles, "Independent Living Services Grant for Older Individuals Who are Blind and Over the Age of 55." The goal is to identify older individuals who are newly blind and provide them with needed services. During this fiscal year, as part of the Federal Grant, BESB began a residential day program at the Rose City Senior Center located in Norwich, Connecticut entitled "The Community Independent Living Training Program." This program brings together, over a period of six weeks, several consumers who gain information, share ideas and learn independent living skills in a setting that encourages collaboration. The program has been highly successful and recently completed its second session. The agency plans to continue the program in Norwich and expand it to other geographic areas.

The agency is pleased that it was recently awarded a five-year extension of the Independent Living Grant. With this grant, BESB plans to increase its outreach efforts and expand both community training programs and support groups for older consumers.

Under the supervision of a Low Vision Consultant, BESB has reorganized and expanded its low vision services. Low Vision Centers provide services to all legally blind children and adults as well as visually impaired children. During the year, 246 consumers were evaluated by the Low Vision staff.

A "Skills for Life" summer program in West Haven, Connecticut is conducted for children who are blind, ranging in age from 10 to 16. This ten-day day program at Saint Lawrence School teaches independent travel skills, including public transportation, fire safety procedures and home management techniques. This program will be expanded to the Hartford area in year 2000.

In addition, BESB will also conduct a modified program during the year to include a one-

week program in the Stamford, Connecticut area. These programs are conducted by BESB mobility instructors and rehabilitation teachers.

BESB Deaf/Blind Program completed two in-service training programs for agency staff and community service providers, one addressing Deaf Blind culture, modes of communication and assistive devices; the second addressed supportive employment and school to work transitioning.

With the cooperation of the Connecticut Chapter of the Deaf-Blind Association, we are exploring possible new outreach programs for their members and our clients.

A new case management system was implemented to allow for more efficient access to documentation regarding clients who are currently receiving services.

Children Services Division

The Division of Children Service operates under C.G.S. Sec.10-295. It is a statewide service unit providing specialized education services to blind and visually impaired children from birth to high school graduation or age twenty-one. Special services and instruction are provided in four major areas:1) A staff of 20 Education Consultants provides technical assistance services to local boards of education, public school personnel, parents, community groups and others. 2) This staff also provides direct instruction to the children in the development of special skills and assists in the development of innovative extra-curricular enrichment activities for the children. 3) A Materials Resource Center provides braille and large print books and related special reading and writing supplies and equipment to the children, and acts as an information resource for educators and parents. 4) Financial support to local boards of education assist such boards in providing instruction to the children, including the employment of 26 Itinerant Teachers of the Visually Impaired.

In 1998-99, 1113 blind and visually impaired children were served statewide. Of these, 117 Birth-To-Three children and their families were served in their homes, day care or nursery schools; 107 preschool children (ages 3-5) received services in public and special education facilities. During the year, approximately 123 referrals were determined eligible pursuant to Section 10-294a, and 990 children continued in service from the previous year. Each child received services in accordance with his/her individual family service plan or individual education program plan, developed by other state agencies and/or local or regional boards of education.

The Education Consultants provided professional and instructional services to the Birth-To-Three and preschool programs in the instruction of visually disabled students in specialized areas and provided technical assistance to personnel of local boards of education or special facilities. They also served deaf-blind children in a program exclusive to the population. The Educational Braille unit provided textbooks transcribed into braille for 58 of the children in public and private schools. The instructional resource center, operated by the division, provided large type textbooks and related materials to more than 262 children, and provided other specialized instructional supplies and assistive technologies to these same students, as well as the total student population.

Other activities during the year included the division's annual in-service program for Connecticut's regular and special education teachers in public schools and special facilities for 150 such teachers. The in-service program for Connecticut's certified teachers of the blind resulted in awarding 0.5 Continuing Education Units as a result of their participation in training programs focusing on computer and technology needs of blind and visually impaired students. The Camp Harkness Summer Program provided blind students the ability to learn and practice applications of computer technology to their everyday school and classroom needs. Approximately 40 students experienced "nature" activities including tactual handling of American Indian artifacts and learning about the tribal culture and history. Ten other students learned valuable social and mobility skills in a large urban environment in New York State.

During the year, the agency more clearly defined and stringently reinforced payment and reimbursement policies consistent with the statutory authority. This enabled the division to avoid a deficiency without reducing services that were needed for the children. Care was taken to ensure that each child's needs, related to visual disabilities, continued to be provided.

Vocational Rehabilitation Department

The Vocational Rehabilitation Department operates under C.G.S. Sec. 10-306, 10-307,

10-308. The Division provides vocational rehabilitation services to eligible persons as authorized under state statutes and the federal Rehabilitation Act Amendments of 1998. The objective of the program is to provide services, adaptive equipment and skills training necessary to assist persons who are legally blind in obtaining and retaining employment. Through vocational assessments, career exploration and job placement services, consumers can achieve successful employment in their chosen occupations.

Specific services that are provided include vocational counseling, job placement assistance, diagnostic assessments, training in colleges, vocational/technical schools and business schools; adaptive technology evaluations, training and equipment, visual restoration services, and a myriad of support services to assist a person while participating in training. These support services include transportation, reader services and books. After a job placement occurs, Vocational Counselors provide follow up services to ensure a successful employment outcome.

The Vocational Rehabilitation Division continues to offer the mentor program to consumers, with the goal of providing the greatest degree of choice in the career development process. This program enables participants to learn about the many occupational possibilities that exist by speaking with former recipients of services who are successfully employed.

In the past year, the Division served 1155 consumers, with 210 persons achieving successful employment. Through the provision of skills training, specialized adaptive devices and service coordination, consumers obtained and retained employment in professional, technical and service occupations such as physicians, software engineers, actuaries, college professors, nurses, food service managers, customer service representatives and assemblers.

As a result of a review of consumer recommendations and in acknowledgement of the need to increase employment opportunities for persons who are legally blind, the program has reorganized the service delivery process in the past year. Two full-time Job Placement Counselors are now available to market the program to employers and assist consumers in obtaining employment. In our commitment to address the high unemployment rate of persons with disabilities, our Placement Counselors are linked to other public and private providers through the World Wide Web to share job leads.

Based on the new Rehabilitation Act Amendments of 1998, the program, in consultation with the State Rehabilitation Council has developed a strategic plan to address service delivery options and public awareness about the program. Efforts to educate employers and community based organizations about the capabilities of persons who are blind has been heavily emphasized in this plan. In addition, under the new Workforce Investment Act, the program has taken a lead role in assessing the accessibility of career One-Stop centers operated by the Department of Labor, and providing adaptive speech and large print software for computers in several locations.

Efforts in the new fiscal year will focus on refining the new regional team service delivery model to increase response time to consumers. In addition, as identified in the Strategic Plan, the program, in collaboration with the State Rehabilitation Council, will produce a marketing package to be presented to employers throughout the state.

In our continuing effort to remain cost efficient, the Division continues to bulk purchase adaptive equipment for consumers, so that it will be more affordable and readily available when a training or employment situation arises.

In this past year, the program has placed a greater emphasis on coordinating services through telephone communication rather than through extensive field visits. This approach is far more cost efficient in that travel time is reduced and more time is made available for actual service coordination.

Business Enterprise Program (BEP)

The program operates under C.G.S. Sec. 10-303. It provides entrepreneurial business opportunities for legally blind citizens of Connecticut. Legally blind business people run cafeterias, gift shops and snack shops on state, federal and municipal properties throughout the state. The program, which employs 26 legally blind business people and their staff, generated \$3.6 million in sales.

During this fiscal year, several milestones were achieved: the Business Enterprise program replaced 65 separate agreements with one statewide provider of beverages and snacks. This ensures an enhanced revenue stream to support program activities. The program, in conjunction

with the Blind Operators' Committee, negotiated group purchasing deals for the blind managers; the Capitol Avenue Training Center and Cafeteria was established as the location for the training of blind managers in food service and business fundamentals.

The facilities provide the opportunity for a positive perception of the abilities of blind managers; and, supports the goals of the agency for independent living, and recognition of the employable capabilities for Connecticut's blind population.

Contracting for a statewide vending contract eliminated tracking, accounting and auditing requirements. In addition, the contract provides additional staff to focus their efforts on improving the physical structure of the facilities; and, the quality of the training course.

BESB Industries

The Industries Division operates under C.G.S. Sec. 10-298a, 10-298b, 10-298c, and 10-304. It maintains workshop facilities in Windsor and West Haven. During fiscal year ending June 30, 1999, Industries employed 130 clients and 33 legally blind and sighted staff. Sales revenues from our product lines totaled \$4.3 million.

Industries goal is to emphasize our strengths, the expertise and quality of workmanship of our blind clients and staff. Public awareness, both within and outside of government, will result in growth and new job opportunities for Connecticut's legally blind citizens.

The production of tee-shirts for the US Army continues to increase. Staff members are participating in the redesign of the physical fitness uniform scheduled to go into production in early 2000.

State and local contracts to provide Admission Kits, Writing Instruments, Latex and Vinyl Gloves are expanding.

During the past year, a joint venture with Pilot Pen, USA, added a new line of writing instruments to our products. This provides a high quality option for government employees.

A new style of synthetic gloves was introduced to the market specifically available for individuals who are allergic to latex.

The agency continues its efforts to strengthen our product line by diversifying into service job opportunities for the blind. Industries is preparing a presentation for the opportunity to staff an informational toll free service line, with technical support from National Industries for the Blind. This new venture is scheduled for start-up in January, 2000.

The agency plans to increase our efforts to utilize our expertise in our search for opportunities to partner with commercial companies in textile industries. This would provide additional job opportunities for the blind.

BESB Administration

This Division is comprised of the Executive Director's Office, Business Office, Payroll and Personnel, Public Relations, Affirmative Action and Volunteer Services. It is responsible for all functions relating to the administration and management of the agency, budgeting, fiscal services, payroll preparation, policy formulation, agency-wide computer system, standards, priorities and resource coordination. During the last year, the Executive Director and his staff held two State-wide public forums with over 325 interested consumers, family and friends, local town and city officials, transit district staff and private and public organizations in attendance. Issues around service delivery, strategic planning, transportation, right turn on red light, guide dog accessibility, lack of job opportunities in certain areas of the State and services for Connecticut's "graying population" were discussed. Over 400 volunteers provided services as readers, drivers, brailers and braille transcribers, shopping assistants, touch book for preschoolers, pre-braille reading for preschoolers and board members; in addition, they coordinated the outreach mailing project.

Information Reported as Required by State Statute

Agency policies and procedures continue to be consistent with state and federal reporting requirements. Connecticut General Statutes, Chapter 174, Sec. 10-305, requires physicians and optometrists to report to the Board, in writing and within 30 days, the names of their clients who have been diagnosed as blind according to the definition outlined in C.G.S. Sec. 10-294a. This past year, we have made a concerted effort to reinforce this statute; and, inform doctors that these clients are eligible for agency services.

The agency continues to maintain a confidential state registry of those individuals who have registered with the agency, i.e. have been diagnosed as legally blind, their doctor has reported this to the agency and they have registered as clients.

The Board of Education and Services for the Blind is committed to comprehensive, community based statewide services for Connecticut citizens who are legally blind and registered with the agency. We will continue to ensure cost effective and timely service delivery by continually improving our outreach efforts, and, by improving our existing service delivery through the development and implementation of an automated service delivery system for BESB clients.

The agency is committed to implementing the spirit and purpose of affirmative action, equal opportunity and contractual compliance and the Americans with Disabilities Act. The Board has developed and implemented hiring goals to maintain a diversified work force, which includes individuals who are blind. The agency's Affirmative Action Plan was submitted and approved by the Commission on Human Public Services.



Office of the Child Advocate

At a Glance

LINDA PEARCE PRESTLEY,
Esq., *Child Advocate*
Christy Scott, Esq.,
Associate Child Advocate
Established - 1995
Statutory authority - CGS 46a-13k,
ET SEQ.
Central office - 18-20 Trinity Street
5TH Floor, Hartford, CT 06106
Number of employees - 5
Recurring operating expenses - \$342,190

Mission

The Office of the Child Advocate is the children's ombudsman office for the state of Connecticut. It is an independent state agency established in 1995 to protect the civil, legal and special rights of the children of Connecticut, and to advance policies throughout the state that promote their well-being and best interests.

Statutory Responsibility

The statutory responsibilities of the Office of the Child Advocate (OCA) are numerous. They include evaluating the procedures for and the delivery of state-funded services to children; investigating inquiries or complaints regarding children; recommending changes in state policy; conducting programs of public education; legislative advocacy and proposing systemic reform; reviewing conditions and procedures of all public and private facilities where children are placed; providing training and technical assistance to children's attorneys; initiating or intervening in court cases on behalf of children; serving on the Child Fatality Review Panel and conducting a fatality review of every case in which a child who had received state services has died; and reviewing a child death or critical incident that may be reflective of a systemic problem.

Public Service

The Office of the Child Advocate responds to every individual complaint pertaining to children which, in some cases, requires extensive investigation, notification to the child's attorney and requests for records of the state agencies involved. These reviews often uncover systemic issues that must be addressed. The activities of the office benefit the children of this state, and in many instances have been the catalyst for policy and legislative change.

The Office of the Child Advocate spends considerable time on public education and publishes reports that are designed not only to analyze agency management of cases and provide recommendations but also to educate the community on the status of Connecticut's children.

Improvements/Achievements 1998-99

Over this last year, the Child Advocate has established a fully operational children's ombudsman office. From July 1, 1998 through June 30, 1999, the Child Advocate responded to 1,428 telephone and written inquiries or concerns from the public regarding children's issues. Of those, 790 were referred to other agencies, 638 warranted further investigation, and 325 of those investigated were resolved.

The OCA has conducted extensive review of child fatalities within the state after establishing protocols with the state agencies, police departments and medical examiners office. In 1998, forty-four child deaths were reviewed by OCA in conjunction with the Child Fatality Review Panel and four in-depth fatality reports with recommendations were issued and disseminated state and nationwide. These reports have resulted in the identification and heightened awareness of systems issues that impact or imperil children. They have also promoted legislative, regulatory and policy change on these issues across the state and the nation. In March 1999, the Office of the Child Advocate conducted a follow-up investigation and issued a report on Connecticut's state agency response to the issues identified in the fatality reviews including agency initiatives and corrective actions taken.

The Office of the Child Advocate continues to be involved extensively in the legislative process. The office proposed several initiatives to address problems affecting children identified through the day to day operations of the office.

The Child Advocate has established a task force in 1999 to address the issue of the state's care of children with special health care needs. This task force is a multidisciplinary collaborative effort of state and community providers that is researching and will issue a report with findings and recommendations to improve the quality of care for this vulnerable population.

At the request and expense of the Judicial Department, the Child Advocate has engaged a staff person to monitor and assess the conditions at the state's juvenile detention centers, with particular focus on the New Haven Juvenile Detention Center. The monitor is stationed at the facility, interacts regularly with staff and children, and reviews incident logs, restraint and seclusion reports and disciplinary actions. The monitor provides regular written reports to the Child Advocate with overall impressions of the facility, specific recommendations as needed, and statistical summaries of incidents, restraints and use of seclusion.

The Office of the Child Advocate has developed a mission statement, brochure, and web-page to inform the general public of the OCA services available.

Reducing Waste

The Office of the Child Advocate is committed to regular reviews of its current operating procedures aimed at reducing waste and increasing efficiency.

Strategic Planning

Current Initiatives

- Provide training and technical assistance to court appointed attorneys and guardians ad litem who represent children in family, juvenile, probate and criminal courts.
- Investigate and resolve complaints expeditiously, interview children and families when necessary, and initiate appropriate legal action in those cases that warrant it.
- Review residential facilities and group homes to assess the safety and well-being of children.
- Continue to serve on and provide administrative and professional support to the Child Fatality Review Panel.
- Continually examine statutory mandates and seek modification as appropriate.
- Educate the public locally and nationally through formal and informal presentations, web page, newsletter, media interviews and dissemination of investigatory reports.
- Review and recommend changes in state agency policies affecting children in the systems of child protection, foster care, juvenile justice, and child care.
- Promote legislative initiatives to improve the systems of services for children.
- File amicus curiae briefs in cases that may impact on the welfare of children.
- Continue to monitor and assess the conditions of the state's juvenile detention centers.
- Continue to obtain grant funding to develop a comprehensive ombudsman program.

- Conduct task force reviews of issues of special multidisciplinary concern, such as our system's treatment of children with special health care needs, and prepare in depth reports of the results of such collaborative reviews.

Future Initiatives

- Conduct a review of DCF's quality assurance program, specifically conducting on-site checks of those foster homes of particular concern.
- Provide mediation services to parties involved in litigation affecting children as a means of alternative dispute resolution.
- Initiate an annual child fatality report on the causes of Connecticut child fatalities with recommendations for decreasing those numbers.
- Investigate special issues such as the adequacy of mental health services for children and the causes and solutions to the problem of runaway and truant children.

Information Reported as Required by State Statute

The Office of the Child Advocate has developed an affirmative action plan which complies with Connecticut General Statutes Sec. 46a-70 through 46a-78.

As mandated by Conn. Gen. Stat. Sec. 46a-13k(f) and 46a-13q(a), the Office of the Child Advocate and the Advisory Panel submitted a joint annual report for the period of October 1, 1997 through September 30, 1998. The present Child Advocate plans to file her annual report by September 30, 1999, reflecting the period October 1, 1998 through September 30, 1999.



Department of Children and Families

At a Glance

KRISTINE D. RAGAGLIA, ESQ.,
Commissioner

Stacey H. Gerber,
Deputy Commissioner

Thomas Gilman,
Deputy Commissioner

Lovie D. Bourne,
Assistant Commissioner

Established - 1970

Statutory authority - CGS Chap. 319

*Central office - 505 Hudson Street,
Hartford, CT 06106*

*Average number of full-time
employees - 3,003*

*Recurring operating expenses -
\$398,161,081*

Capital outlay - \$4,987,861

*Organizational structure - Office of the
Commissioner; Administration and
Finance; Bureau of Quality Manage-
ment; Juvenile Justice; Child Protec-
tion Services; Children's Health and
Education Services; Office of Foster
and Adoptive Services.*

Mission

*The mission of the Connecticut Depart-
ment of Children and Families is to
protect children, strengthen families,
and help young people reach their full-
est potential.*

**DEPARTMENT
of CHILDREN
and FAMILIES**

Statutory Responsibility

The Department of Children and Families (DCF) provides a variety of direct and funded services to the children, youth and families of Connecticut. Major program areas are mental health services, substance abuse services, protective services for children and youth under 18, foster care, adoption services, prevention services, education services, juvenile justice services, and funding to community service providers.

Public Service

The department serves clients through 14 offices in the following communities:

Bridgeport, Stamford, Norwalk, New Haven, Meriden, Norwich, Willimantic, Middletown, Hartford, New Britain, Manchester, Waterbury, Danbury, and Torrington. DCF has also established community service centers, many of which are co-located with law enforcement agencies, in the towns of Ansonia, Bridgeport, Branford, Hartford, Norwich, Waterbury and Westbrook. The department operates five facilities: Riverview Hospital for Children and Youth in Middletown, High Meadows Residential Treatment Center in Hamden, the Connecticut Children's Place in East Windsor, Long Lane School in Middletown, and the Wilderness School in East Hartland. Support services are provided to the regional offices and facilities through the department's central office.

Key phone numbers: **Child Abuse and Neglect Hotline**, (24-hour emergency number for reporting child abuse or neglect of a child or accessing DCF services): 1-800-842-2288. **Foster and Adoptive Parent Recruitment**: 1-888-KID-HERO (543-4376). **Adoption Information**: 1-800-842-6348. **Public and Community Relations**: (860) 550-6305.

The DCF Commissioner is advised by a State Advisory Council on Children and Families (SAC), whose membership is appointed by the Governor. SAC members during fiscal year 1998-99 included: Jean Adnopo, Chairperson; Albert Alissi, D.S.W.; Karen Bartis; Jane Bourns; Donald Gaskill; Donna Hartigan; Virginia Raymond; Herbert Schacht; and Joseph Woolston, M.D.

Improvements/Achievements 1998-99

At the close of fiscal year 1998-99, the Department was serving 41,651 children and 16,655 families. Special initiatives and accomplishments during the year included:

Child Protection & Adolescent Services

- Received 37,149 reports at the DCF Hotline; 28,234 were accepted for investigation.
- Successfully implemented first two phases of the federal Adoption and Safe Families Act which focuses on permanency for children in the child welfare system. DCF filed 752 termination of parental rights petitions with Superior Court for Juvenile Matters.
- Issued new policies to improve social workers' assessment and response time, staff training, case practice, and collaboration with schools and service providers.
- Trained more than 900 DCF social workers on assessing child safety risk and family functioning.
- Developed and began implementing the Safe Home program, which provides a safe environment for children ages 3 to 12 who enter DCF care for the first time. Safe Homes will keep children in or near their own community, ensure that they receive a complete evaluation, and enable DCF staff to make the best possible permanency placements for them. The state's first two safe homes opened in Hamden and Plainville, and plans were made to open 10 others for a total capacity of 182 beds.
- Expanded and improved the Administrative Case Review process, which provides an independent review of DCF open cases with a focus on achieving safety and permanency for clients. During FY 99, about 10,000 cases were reviewed through this process.
- Helped US Congresswoman Nancy Johnson push for and win legislation greatly expanding services to teens who have been in the child welfare system.

Health and Mental Health

- Hired six Health Care Advocates who assist DCF social workers and clients access to navigate the health care service system.
- At close of fiscal year, DCF was providing mental health services to about 340 children in all levels of care from community programs to psychiatric hospitals.
- Negotiated first interagency agreement with Department of Mental Health and Addiction Services for youth transitioning out of DCF care.
- Established licensing regulations that govern Outpatient Psychiatric Clinics for Children in order to improve and maintain standards of care for children and youth receiving mental health services in these settings.
- Sponsored a group of four youth with mental health and abuse/neglect issues to speak at a national Mental Health Commissioners' meeting about their needs and ideas for system reform.

Foster Care and Adoption

- Completed 426 adoptions of children in DCF care, a 35 percent increase over last year. Licensed 207 new foster homes.
- Began implementing a new competency-based curriculum for foster and adoptive parents called PRIDE (Parent Resources for Information Development and Education). DCF staff and foster/adoptive parents who will be trainers were trained.
- Developed two effective foster parent retention programs in the Northwest Region which were successful in preventing child displacements. During FY 99, specialized in-home services were provided to more than 85 foster families.
- Instituted a thorough background check procedure for new and current foster and adoptive parents which mandates federal, state and local criminal record checks.
- Identified a group of therapeutic foster care providers to care for children from the North Central region who are discharged from the Connecticut Children's Place. CCP staff provide support services to the children and foster parents.
- Initiated a post-adoptive services program in the greater Bridgeport area with Casey Family Services through a Federal Adoption Opportunities Grant.
- Worked aggressively to recruit foster parents, including renewing the "Be a Hero. Be a Foster Parent" media campaign and developing partnerships with foster parents and community and corporate groups. This included the first-time corporate initiative by Phoenix Home Life to host recruitment events targeted to the Greater Hartford business community.
- Revamped the CAREBOOK, a professional, attractive book featuring photos of children awaiting adoption. Sears Portrait program takes the photos for free.

Collaboration with Providers

- Negotiated with local police departments in Bristol, Bridgeport, Branford, Waterbury, Hartford and Norwich and the state police (Westbrook barracks) to house DCF investigative staff to improve investigations and reduce trauma to children.
- Provided training to more than 1,400 community providers on mandated reporting of suspected child abuse and neglect.
- Began collaborating with the Casey Foundation to recruit community foster families in Hartford to act as mentors for families and facilitate the reunification of children with their families.

Juvenile Justice

- Served more than 1,200 youths in juvenile justice programs during the year.
- Served an average of 203 youths per day at Long Lane School, the state's institution for committed delinquents, and 450 youths per day in private residential programs.
- Provided parole services to an average of 750 youths per day, including youths in placement and those at home.

- Secured \$50 million from the legislature to build a new training school, with construction beginning in FY 2000.
- Established the *Long Lane 21st Century Committee* of juvenile justice experts to bring the new facility into the new millennium.
- Physically upgraded the existing Long Lane School facility.
- Hired and trained 48 additional staff for Long Lane to improve and enhance the accessibility of clinical, medical and direct care services.
- Adopted new policies at Long Lane in areas of suicide prevention, use of restraints, and substance abuse prevention and treatment.
- Awarded contracts for the development of three residential programs for placement of Long Lane residents. These will include a 20-bed treatment program for boys; a 22-bed treatment program for girls; and a 20-bed parole revocation program for boys.

Facilities, Programs and Personnel

- Served 289 youth at Riverview Hospital for Children and Youth.
- Served 102 youth at High Meadows Residential Treatment Center, which provides clinical, educational and vocational services for emotional disturbed adolescents.
- Served 127 youth at the Connecticut Children's Place, which provides residential care and evaluation of children referred by the protective services system.
- Provided technical assistance and program review for 30 facilities to improve the quality of care delivery to children and youth in out-of-home facilities.
- Drafted specialized regulations governing the use of restraint and seclusion in programs and facilities licensed or funded by DCF.
- Received a Federal IV-E waiver to operate the Continuum of Care Demonstration Project, which evaluates new and innovative approaches to the provision of services for children and youth approved for residential care.
- With the Office of Policy and Management and private residential care providers, began to process to review rate-setting issues, outcome measures, and service needs of children in need of residential treatment services.
- Improved the computer system in DCF offices by adding 2,500 personal computers and related equipment and moving toward a software upgrade to Windows NT.
- Eleven DCF staff received Governor's Service Awards for outstanding service to our clients and the community.
- Enhanced the DCF Internet web page by including Requests for Proposals and Employment Opportunities, and created the internal DCF Intranet, which will provide useful information about resources and departmental functions for all staff.

Revenue Enhancement

- Increased federal revenue to the state through enhanced Revenue Enhancement measures; brought in \$29 million more than was anticipated in federal Title IV-E reimbursements for services provided to children.

Strategic Planning

- Developed the first outcome-based strategic plan for all agency mandates to evaluate the efficiency and effectiveness of client services by DCF-funded programs.
- The plan identifies key outcome measures for child safety, permanency for children and youth, and child and family well-being.
- Management performance will be evaluated by degree of outcome success.
- Creates financial accountability for managers.
- Future goals include tying in all contracts and grants to strategic plan outcomes, with the goal of funding only those programs that perform.

Information Reported as Required by State Statute

The Department of Children and Families is committed to an aggressive and comprehensive affirmative action plan to ensure equal employment opportunity. Equal employment opportunity is the primary goal of affirmative action. To that end, the department developed an Affir-

mative Action Plan which commits the agency to aggressively pursue equal employment opportunity and to provide services and programs in a fair and impartial manner. Affirmative Action plays an important and necessary role in all stages of the employment process.

DCF affirmative action and personnel officers conduct a vigorous recruitment program with the agencies diverse caseload in mind; and provide staff orientation. Training on various subjects; employment and upward mobility counseling; and processing of discrimination complaints are conducted by the affirmative action office. Over the past several years, the department has made consistent progress in the hiring of staff who reflect diversity of its caseload; as well as staff who represent attainment of an appreciable number of affirmative action goals. In this fiscal year, the department's comparison of the race and ethnicity of its professional staff with the clients served revealed that the percentage of minority clients was 58 percent and that the percentage of minority staff was 50 percent.



Office of the Claims Commissioner

At a Glance

JAMES R. SMITH, Commissioner
Established - 1959
Statutory authority - CGS Sec. 4-141
Central office - 18-20 Trinity Street,
Hartford, CT 06106

Mission

For instances in which there is no statute specifically granting permission to sue, the legislature has adopted a statutory scheme which allows persons to petition the Claims Commissioner for permission to sue the state.

Statutory Authority

The State, unlike most of its citizens, is immune from liability and from suit. Without its consent, the State cannot be held liable in a legal action for any damage or injury it may cause or for the cost of any service or benefit it may have received.

Article Eleventh, Sec. 4 of the Connecticut Constitution provides that: "Claims against the state shall be resolved in such manner as may be provided by law." For certain actions, the Connecticut General Assembly has waived the sovereign immunity of the state by statute. Connecticut General Statute 13a-144 permits persons alleging injuries or losses caused by a defective highway or bridge to file suit against the Commissioner of Transportation in Superior Court. Connecticut General Statute 52-556 grants permission to sue when an alleged injury results from a motor vehicle accident involving an insured state vehicle operated by a state officer or employee.

In most other cases where there is no legal or administrative remedy available, a person claiming to be injured or damaged as a result of state action must pursue a claim through the Office of the Claims Commissioner. The legislation implementing this process is set forth in Chapter 53 of the General Statutes. Those provisions define the duties and jurisdiction of the Claims Commissioner, who is appointed by the Governor with approval of the General Assembly, and has the duty to decide when it is "just and equitable" to waive the sovereign immunity of the state.

The Claims Commissioner hears and determines claims against the State and decides whether a claim is a "just claim". Connecticut General Statute 4-141 defines a "just claim" as a claim which in equity and justice the state should pay, provided the state has caused damage or injury or has received a benefit.

Certain claims are "excepted" from the jurisdiction of the Claims Commissioner, including (1) Claims for the periodic payment of disability, pension, retirement or other employment benefits; (2) claims upon which suit otherwise is authorized by law including suit to recover similar relief arising from the same set of facts; (3) claims for which an administrative hearing

procedure otherwise is established by law; (4) requests by political subdivisions of the state for the payment of grants in lieu of taxes, and (5) claims for the refund of taxes. Connecticut General Statute 4-142. If a claim filed is "excepted" by statute the Commissioner lacks jurisdiction and the claim must be dismissed.

For claims under \$5,000.00 the Commissioner may waive a hearing and proceed upon affidavits. Connecticut General Statute 4-151a. For claims in excess of \$5,000.00 the Claims Commissioner conducts a formal hearing as set forth in Connecticut General Statute 4-151.

After a hearing, if the Claims Commissioner finds that the alleged damage or injury was caused by the state or the state received a benefit and that the claim is "just and equitable", he may either award payment for claims up to \$7,500.00 (Connecticut General Statute 4-158) or recommend payment of claims in excess of \$7,500.00 to the General Assembly (Connecticut General Statute 4-159). If requested by the claimant the Commissioner may grant authorization to sue the state in Superior Court. (Connecticut General Statute 4-160). Such claims are then tried to a court (not a jury). Appeals from decisions of the Commissioner are made to the General Assembly.

The commissioner exercises jurisdiction only under the precise circumstances and in the manner particularly prescribed by the enabling legislation. The parties cannot confer jurisdiction upon the commissioner by agreement, waiver or conduct. Although the State is represented, in most cases, by the Attorney General's Office, the Claims Commissioner has an independent duty to insure that only "just claims" receive awards.

Improvements/Achievements 1998-99

Prior to 1959 claims against the State were brought to the General Assembly by submission of bills. Because of the substantial burden by an increasing number of such bills, the General Assembly enacted House Bill No. 4003 establishing a three person Claims Commission to hear and decide claims against the state. In 1997 the Commission was replaced by a single Claims Commissioner. From 1977 until June 30, 1995 the number of claims filed per year generally exceeded the number of claims disposed of resulting in an ever increasing "backlog" of pending claims. When this Commissioner took office on July 1, 1995 there were 3090 claims pending. During the past four fiscal years that number has been reduced by more than one third to 1887 claims pending.

The Claims Commissioner's staff currently consists of three full-time employees; the Clerk of the Office of the Claims Commissioner, a paralegal and one additional clerical employee. A part-time (per diem) hearing officer is also employed as budgetary considerations will allow.

In Fiscal year 98-99, the Commissioner received 549 new claims, 97 of which were claims for property loss filed by inmates at correctional institutions. A total of 780 claims were adjudicated or disposed of thereby reducing the backlog by 231 claims to 1887 claims pending as of June 30, 1999. The current backlog is the lowest it has been since 1987.

The substantial increase in the number of claims adjudicated during the past four years resulted from various changes implemented since 1995. The Commissioner has established a closer working relationship with the Department of Corrections and that agency has assigned a liaison person to process pending property claims by prisoners, which represent a substantial number of the current and outstanding claims. This joint effort with DOC has resulted in a quicker investigation and response to claims by that agency. The involvement by DOC has also alerted that agency to problems in the system and resulted in new and better procedures for storing and accounting for inmate property. These new procedures have led to a reduction in the number of property claims being filed by inmates.

The use of "scheduling orders", which are issued by the clerk in pending claims, and the elimination of routine "informal" conferences, has enabled the Commissioner and the hearings officer to spend more time conducting formal hearings and other proceedings which result in final disposition of claims. These changes eliminate the necessity for parties, and attorneys, to travel to and from those conferences. The ultimate goal is to make the claims process efficient and timely.

The Commissioner has taken initial steps designed to automate the claims process. A database has been designed and all claims handled or disposed of since July 1, 1995 are included resulting in the ability to instantly access written decisions of the Commissioner and quick retrieval of statistical information.

On July 26, 1999 the Claims Commissioner's office was moved to 18-20 Trinity Street, Hartford providing much needed space and accommodations.

Since March 1997 the Commissioner has been hearing claims on a weekly schedule at Manson Youth Institution in Cheshire. The use of that facility for claims arising within the corrections system provides a secure environment for all participants.

Strategic Planning

The Claims Commissioner's Office is currently providing claimants, attorneys representing claimants and the state with a more efficient and expeditious system for processing claims. The ultimate goal is to insure that claims are heard and resolved within a reasonable time after being filed. Essential to accomplishing this goal is the continuing reduction of the backlog of pending claims to a more manageable level, which insures that claims will no longer sit unresolved for five or more years at the Office of the Claims Commissioner. As of this report that goal has been substantially achieved.



The Board of Trustees of Regional Community-Technical Colleges

At a Glance

MARC S. HERZOG,

Deputy Chancellor

Established - 1965

Statutory authority - CGS 10a-71

through 10a-86a

System office - 61 Woodland Street,

Hartford, CT 06105

Average number of full-time employees -

2,173

Average number of credit students - 38,625

Number of non-credit registrants - 79,342

Recurring operating expenses -

General Fund - \$103,894,210

CTC Operating Fund -

\$56,416,353

Grants - \$ 23,095,418

Capital outlay - \$8,845,327

Organizational structure - A system of 12 colleges managed by an appointed Board of Trustees responsible for the system's growth and development, and whose operations are coordinated by the Chancellor's Office

Mission

The mission statement implements the statutory responsibilities of Connecticut General Statutes (CGS) 10a-72.

Statutory Responsibility

The statutory responsibility of the Community-Technical Colleges, as reflected in Connecticut General Statutes 10a-80, is (1) to provide programs of occupational, vocational, technical and career education designed to provide training for immediate employment, job retraining or upgrading of skills to meet individual, community, and state workforce needs; (2) to provide general programs including, but not limited to, remediation, general, adult and continuing education designed to meet individual student goals; (3) to provide liberal arts and sciences and career programs for college transfer; (4) to provide community services and continuing education to respond to workforce needs or to address career, personal, instructional, cultural, and public interests; (5) to provide student support services including, but not limited to, admissions, counseling, testing, placement, individualized instruction and efforts to serve students with special needs.

Public Service

In the 1998-1999 academic year, Connecticut's Community-Technical Colleges completed their thirty-fourth year as public two-year colleges. The system served once again as the largest unit of higher education in the state, enrolling 49.4 percent of all undergraduates in public higher education. Fall 1998 headcount enrollment in credit courses totaled 39,354, a 2.4 percent decline from Fall 1997. Of these, 77.5 percent attended part-time, and 24.5 percent attended full-time. There were also 79,342 enrolled in non-credit courses at the 12 colleges, an increase of 12 percent. When credit courses for business and industry, as well as other facility use by contract training, are included, the total rises to over 119,000.

The average Community-Technical College student in 1998-1999 was 30 years of age; for full-time students the average was 23 years, while for part-time students it was 33 years; 41.7 percent of the students in the system were age 30 or older.

Women made up 60.2 percent of the student population. Minority enrollments represented 24.4 percent of the student body, with African Americans and Hispanics constituting 24.3 percent.

Students enrolled in occupational programs represented 43 percent of enrollment, and approximately 28 percent pursued Liberal Arts and Sciences and General Studies programs. The remaining 29 percent were not enrolled in a specific degree or certificate program.

In accordance with the open door policy, students may enter community-technical colleges and pursue their learning experiences at appropriate and realistic levels; certain specialized programs have additional entrance requirements reflecting the need for prior preparation. Primarily teaching institutions, the community-technical colleges provide lifelong access to educational opportunities.

Improvements/Achievements 1998-99

Data and Information Management

Information technology is a critical strategic resource of the system. Students, faculty and staff require necessary access and services. Management information is a valuable resource that must be managed and coordinated in order to maintain its integrity and meaningfulness. The system is working toward a communications infrastructure that will accommodate existing needs and provide for integrated voice, video, and data transmission. During the 1998-1999 year:

- Core implementation of the Banner management information system was completed, to include the following modules: student recruiting/admissions, registration, accounts receivable, academic history (grades and transcripts), finance, budgeting, and human resources.
- Over 500,000 student records and 5,000,000 course records were converted from the previous system to the new Banner system.
- All Banner modules have been made Y2K compliant.

Community Services

The scope of activities in the School-to-Career and Technical Preparation programs has expanded during the 1998-1999 year.

- All colleges have developed, or are developing, skills outcomes statements for all career programs, to better coordinate with the CBIA-developed skills standards.
- All colleges have developed articulation agreements to give college credits for high school courses in communications, mathematics, science, and career fields, taught as part of the Tech Prep programs, which have college-level outcomes. There are currently 77 high schools statewide that participate.
- The system has collaborated with the Department of Higher Education to establish website information on credit-granting, work-based learning opportunities in higher education that links high school and college personnel to employers.

Academic and Student Affairs

- As part of its work to respond to changing needs, the Board of Trustees approved four

new Associate Degree programs, 21 new certificate programs, eleven new options to existing programs, and 25 modifications to programs of all types. The Board also terminated five degree programs and five certificate programs.

- The New England Association of Schools and Colleges accepted Housatonic Community-Technical College's fifth-year interim report and confirmed that the next comprehensive evaluation is scheduled for Spring 2002.
- The College of Technology, in collaboration with ESPN and CCSU, developed a Television Operations program that will provide training through Tunxis and Middlesex Community-Technical Colleges, using ESPN's Bristol facilities.
- The Safety Institute, working with the Department of Transportation, developed a Railroad Crossings training course for state and municipal police and EMTs, the first in the country to be delivered as a college-level credit course.
- A credit pathway for the Precision Machining Institute, currently offered at Capital, Manchester, and Asnuntuck CTC, has been articulated with CCSU's School of Technology, enabling students to receive college credit for their training.
- A project to develop a common course numbering and titling system for all 12 colleges has been pushed forward. This long-term effort, when completed, will make it easier for students to transfer from one state higher education institution to another, and for students and institutions to evaluate transcripts.
- An all-day Student Services Conference, featuring a nationally recognized keynote speaker, provided an opportunity for college staff and students to develop common practices geared to meeting student needs and expectations.
- The system has partnered with CPTV to televise legislative sessions for state residents using the Community College Instructional Television channel, and also provided student interns to staff the television operations and assist state legislators and the governor's office.

Image and Marketing

As part of long-range strategic planning, two major initiatives were undertaken in the area of marketing and communications. The Board of Trustees began a process of environmental scanning by conducting focused discussions with representatives from the communities and businesses served by nine of the colleges. The results of these discussions will support the Board's work in setting the overall direction for the future. The Board also oversaw the execution of a series of market research projects designed to assess public perceptions about the colleges, their role in the total higher education picture, and the expectations and satisfaction levels of the diverse populations served. The information gathered will help the system in its continuing efforts to tailor programs to meet the needs of students.

Facilities

- Highlights for the year included master plans for several campuses moving forward. Construction of Phase I at Manchester is well underway. The new Learning Resource Building, which includes a state-of-the-art library, is scheduled for substantial completion and occupancy in June of 2000. Design of Phase II also made significant progress. It is planned to go out to bid, and bonding for construction is hoped for this winter with an early Spring 2000 construction start. Phase II includes a new center for arts, sciences and applied technology, as well as additional renovations to existing space, and replacement of ten temporary buildings.
- At Northwestern in Winsted, design of a new library (Phase I) is underway, along with design for major infrastructure renovations to the existing historic Founders Hall. It is hoped that bonding for construction will occur this winter.
- Efforts continued during the year for master planning and programming design requirements for a new consolidated campus for Capital in downtown Hartford, and a new technology center at Naugatuck Valley.
- The search continues for sites to develop new, consolidated campuses in Norwich for Three Rivers Community-Technical College and in New Haven for Gateway Community-Technical College.

Based on a master plan for Norwalk Community-Technical College, a capital improvement

project to renovate one of the wings of the west campus has been completed. A second and larger improvement project is underway to renovate the remaining three wings of the west campus.

Numerous other projects, including major ADA renovations, indoor air quality and code upgrades, space renovations, capital equipment and system technology development and deferred maintenance projects continued on a system-wide basis at all colleges.

Partnerships with State Agencies and with Business and Industry

- Through the In-Service Training Program, a partnership with the Department of Administrative Services, more than 9,000 state employees in 60 agencies were provided training in a variety of areas and certificates.
- A pilot welfare-to-work program was initiated in two colleges, Quinebaug Valley and Northwestern Connecticut.
- In partnership with the Department of Economic and Community Development, the Connecticut Customer Service Training Institute was opened at Capital CTC. This is an employer-driven center offering programs in the finance, insurance, and real estate sectors.
- A new Connecticut Precision Machining Institute, focusing on machine technology programs and resources, was formed by Asnuntuck, Capital, and Manchester CTC. It offers a standard curriculum statewide; Asnuntuck secured the Team Connecticut prize for its outstanding development and delivery of a precision machining curriculum.
- Colleges in Winsted, Waterbury, Hartford, and Farmington addressed a significant worker and skill shortage in health claims processing, identified by CIGNA. Students take core courses at one of the colleges, and CIGNA provides application courses and work experience.
- A multi-year technical training contract between the system and UTC/Pratt & Whitney provides training on demand at all of Pratt & Whitney's east coast facilities using on-site training and distance education.
- More than 208 companies were referred to the colleges for training or related services under the Department of Labor referral process as structured in PA 96-190. Last year 145 companies participated.
- The colleges are participating in a national workforce development initiative called "America's Career Kit." This model public-private partnership, funded by corporate leaders, the US Department of Labor, the American Association of Community Colleges, and PBS, connects employers, workers, and training providers in a digital marketplace. The system is developing an interactive national website to facilitate business identification of available training programs.

Instructional Technology

- As a result of the identification of technology training needs for faculty and staff, the PC Core Competency Training Program has provided on-going technology training in the major PC office applications as well as Internet and web technology, through training classes provided at the community-technical colleges.
- The College of Technology is a partner with CBIA and the American Chemical Society in a National Manufacturer's Association grant to address the needs for technician training in small manufacturing companies, and is developing an interactive website to link the industrial world with academia.
- As a member of the Connecticut Distance Learning Consortium, the system colleges have authored more than 40 courses for distance delivery through the consortium.
- Community College Instructional Television (CCIT), now in its eighteenth year, continues to provide instructional and informational programming to more than 700,000 homes.
- The community-technical colleges have entered into a partnership with Connecticut Public Television, the Connecticut Public Affairs Network, and the New England Cable Television Association to provide legislative, executive, and judicial television coverage on CCIT.
- Live instruction via compressed video is now being delivered by two of the community-technical colleges, providing students with easier access to courses.

Reducing Waste

- By adding new certificate programs, and options to existing associate degree programs, the colleges are able to offer many more programs to students, at no additional cost, since the new certificates and options are reconfigurations of existing programs.
- The system has contracted with an independent natural gas supplier to provide gas service to eight colleges, with a resulting saving of some 10 percent during the first year of the contract.
- The implementation of the Banner management information system will allow the system to reduce the number of data entry actions needed and integrate material from the 12 colleges in the system for easier access.
- The colleges have terminated several degree and certificate programs that had low enrollment and low degree productivity.
- The introduction of a new system banking program will funnel students from the twelve colleges into specialized courses offered at three colleges, thereby providing statewide access at a reduced cost.

Strategic Planning

During the 1998-1999 year, the community-technical colleges, both as a system and as individual colleges, continued the strategic planning process that was begun last year. The Strategic Planning Committee, as well as the Chancellor, presidents, and other system leaders, developed six goal areas:

- 21st Century Academic Models: improved or new organizational structures, practices, and programs providing access to learner-centered education and skills based on national skill standards
- Economic Development: workforce-focused education and training in response to employer needs and the state's interest in business development and technology
- Technology: enhanced information technology and infrastructure in support of academic, administrative, and human resource services
- Finances: appropriate resources to ensure student access, optimum efficiency in operations, and effectiveness in service
- Marketing: better definition and communication of the colleges and system
- Strategic Planning: expanded efforts at all colleges to incorporate strategic planning as part of the way we do business.

The State Office of Policy and Management's Guide to Strategic Business Planning, as well as the existing plans of the University of Connecticut and the Connecticut State University system, are all being studied to develop the most appropriate model for the 12-college system, related to other components of the state public higher education sector and following the best current management practices.

Information Reported as Required by State Statute

The system, as employer and educational institutions, has reaffirmed its commitment to Affirmative Action and equal opportunity. During the 1998-1999 year, there has been a continuing effort to develop and implement innovative programs in many areas.

- The Chancellor's Office established a Labor/Management Committee to review the Minority Fellowship Program it sponsors in cooperation with the Congress of Community Colleges (employees' union). The program has completed its eleventh year of operation. During this period, twelve minority graduate students served as minority teaching fellows at each of the colleges.
- Support continues for the CONNTAC-Educational Opportunity Program – nine centers now exist, the latest opened at Tunxis CTC.
- The ADA Task Force continued to work with all colleges to implement provisions of the Americans With Disabilities Act and Section 504 of the Rehabilitation Act.
- Community Study Circles on Race Program, sponsored by the Office of the Secretary of the State, were organized on five campuses.
- The Chancellor's Office continued to maintain a vita bank and minority recruitment materials for use by all colleges.

Names, Locations, and Presidents of the 12 Community-Technical Colleges

Asnuntuck CTC, Enfield – Harvey S. Irlen; Capital CTC, Hartford – Ira H. Rubenzahl; Gateway CTC, New Haven – Dorsey Kendrick (incoming summer 1999); Housatonic CTC, Bridgeport – Janis Wertz-Hadley; Manchester CTC, Manchester – Jonathan M. Daube; Middlesex CTC, Middletown – Sharon Hart; Naugatuck Valley CTC, Waterbury – Richard L. Sanders; Northwestern CT CTC, Winsted – R. Eileen Baccus; Norwalk CTC, Norwalk – William H. Schwab; Quinebaug Valley CTC, Danielson – Dianne Williams; Three Rivers CTC, Norwich – Booker T. DeVaughn, Jr.; Tunxis CTC, Farmington – Cathryn L. Addy.

Members of the Board of Trustees as of June 30, 1999:

Lawrence J. Zollo, Waterbury, chairperson; Bryan N. Anderson, Milford; Maureen M. Baronian, West Hartford; Louise S. Berry, Danielson; Dorothy K. Bowen, Eastford; Stephen Bucholtz, Hartford; Reverend David L. Cannon, Preston; Charles Chekas, Middlebury; William R. Johnson, Glastonbury; Jules Lang, Norwalk; Raymond Rivard, Middlebury; Hector Rodriguez, Bridgeport; Lisa Noel Ruzika, Danbury; Marie M. Spivey, Hartford; Joseph Steinkirchner, Stamford; Nancy B. Stolfi, Wolcott.

Office of the State Comptroller

At a Glance

NANCY WYMAN, State Comptroller
Mark E. Ojakian, Deputy Comptroller
Established - 1786

Statutory authority - State Constitution
Central office - 55 Elm Street,
Hartford, CT 06106-1775

Average number of full-time employees -
240

Recurring operating expenses -
\$16.5 million

Systems development expenses -
\$500,000

Capital outlay - \$1,000

Organizational structure - Seven
Divisions: Accounts Payable, Budget and
Financial Analysis, Computer Services,
Management Services, Payroll
Services, Policy Evaluation and Review,
Retirement and Benefit Services.

Mission

To provide accounting and financial services, to administer employee benefits, to develop accounting policy and exercise accounting oversight, and to prepare financial reports for state, federal and municipal governments and the public.

Statutory Responsibility

The responsibilities of the Office of the State Comptroller (OSC) were first laid down in the State Constitution in 1786, and have been amplified over the years in the Connecticut General Statutes. According to Article Fourth, Section 24 of the State Constitution, the State Comptroller "shall adjust and settle all public accounts and demands, except grants and orders of the general assembly. He shall prescribe the mode of keeping and rendering all public accounts." In addition, state law charges the office to adjust and/or settle all demands against the state not first adjusted and settled by the General Assembly; to prepare all accounting statements relating to the financial condition of the state; to pay all wages and salaries of state employees; to develop and implement new computerized payroll, personnel, accounting and budgeting systems; and to administer miscellaneous appropriations for employee taxes, health services and insurance, as well as grants to police, firefighters and municipalities.

The bulk of the Comptroller's statutory requirements are detailed in CGS Secs. 3-111 through 3-123.

The Office of the State Comptroller expressly forbids any acts of discrimination based upon disability and ensures full accessibility to all disabled persons. The State Comptroller is also committed to affirmative action and equal opportunity and pledges to make every good-faith effort to achieve all objectives, goals and timetables in its affirmative action plan, which has been approved by the Commission on Human Rights and Opportunities. Contracts, leases and purchase orders processed by the Office of the State Comptroller contain clauses requiring non-discrimination, and vendors are required to certify the same.

The office is organized by seven divisions:

Accounts Payable Division

The Accounts Payable Division (APD) controls the state's central accounts payable process, audits encumbrances and payment claims for legal conformance and coordinates a range of processing activities. The division handles priority and special payments, such as tax exempt bond funds, electronic fund transfers and land condemnations. The division coordinates all other special processing requests based on state, local, federal law and Comptroller's regulations, and processes payments to more than 60,000 vendors that provide goods and services to the state.

APD approves the state's obligations and reserves funding to charge an agency's appropriation. The division approves disbursements for claims against the state's obligations and charges such payments to the state agencies' appropriations; manages the state's encumbrance and expenditure records in accordance with procedures developed by the Administrator of Public Records; enforces the statutory, regulatory and accounting requirements prescribed by state law, federal law and the Comptroller; facilitates the execution of a statutory grant program for payments to municipalities; produces town payment reports and assists in the reconciliation of the municipal payments with the towns' independent auditors; maintains financial records, including vendor garnishments, through the vendor file database in the Central Accounting System (CAS); provides the statewide 1099 Miscellaneous Income reporting to the Internal Revenue Service.

The Accounting Support Group (ASG) is organized to develop, enhance, and maintain the statewide CAS which supports the financial management and day-to-day operations of all state agencies and all OSC divisions. The ASG also maintains the integrity of the CAS, including its conformity with other core financial systems with respect to the statewide century date change project and coordinates projects across divisional lines within the OSC.

To date, the ASG has remediated the CAS for the year 2000 project that was implemented on July 6, 1998.

The Accounts Payable Division statistics for the 1998-99 fiscal year are as follows: Vendor payments, \$6.8 billion; grant payments to municipalities \$2.8 billion; IRS 1099 Miscellaneous Income reporting \$111.4 million for calendar year 1998. APD processed 591,949 checks and 6,694 electronic fund transfers in fiscal year 1998-99.

Budget and Financial Analysis Division

The Budget and Financial Analysis Division (BFAD) performs the state's accounting and financial reporting functions. The division records, maintains, and analyzes all state expenditures and receipts by fund and account category. The division prepares a monthly financial report on the state budget that details current budgeted expenditures and receipts, and projects the state's fiscal condition to year-end. The division publishes three annual financial reports: 1) a budgetary basis (modified cash basis) report that reviews state expenditures and revenues for the fiscal year; 2) a Comprehensive Annual Financial Report (CAFR) prepared in accordance with Generally Accepted Accounting Principles that outlines the state's overall financial position at the end of each fiscal year; and, 3) a Comptroller's Report that reviews the state's budget and its most significant programs in the context of general economic and demographic trends.

The division also computes and reports all direct and indirect overhead costs associated with major state programs and operations. The cost accounting data is reported and maintained in accordance with federal requirements, and is used to secure reimbursement for state activities

related to federal programs or other funding sources. The division works with state agencies to develop cost information that is essential to the proper management of state programs.

In order to expand public access to state financial information and other topics within the Comptroller's office, the division has developed and maintains an Internet web site. This web-site also contains information of interest to state agencies such as the state payroll and accounting manuals.

Computer Services Division

The Computer Services Division (CSD) provides computer processing for the operating divisions within the Comptroller's Office. The services provided by CSD include: network support; mainframe support including production and Input/output control; personal computer (PC) technical support; local area network (LAN) administration; personal computer application support; and data and system security.

CSD recently completed the software installation and training phase of the Comptroller's Office Automation Project. All employees with desktop workstations (virtually everyone) now have access to Windows-based software and have been trained in its use. All employees are now linked through the local area network.

CSD has completed the Comptroller's Data Processing Disaster Recovery Plan. A backup computer site contract is in place and two major tests have been completed, covering hardware, software, and communications. A regimen of further periodic testing is in place.

Accounting Support Group

An adjunct to the Executive Office, the Accounting Support group develops, implements and maintains statewide computer-based accounting systems to support the financial management and day-to-day operations of all state agencies and all OSC divisions. ASG runs the OSC central accounting and central accounts payable systems; provides detailed financial reports, financial statements and analyses through automated databases, and develops improved systems in these areas. ASG also coordinates all OSC activities related to the Core Financial Systems century date change project.

Management Services Division

This division provides business and support services functions.

Management Services prepares, analyzes and monitors the office's budget and miscellaneous appropriations; prepares and monitors budgets for the Office of the Claims Commissioner and the Judicial Review Council; and makes all purchases and vendor payments for the above mentioned operating budgets. It pays refunds of disability and death benefits to state fire and police officers; death benefits to state employees and grant payments to towns; provides comprehensive support services including courier, payroll, and inventory control, security and facility management; and administers the statewide tuition, travel and training programs. It reviews programs to ensure conformance to contractual, regulatory and statutory obligations. It coordinates fringe benefit recoveries and maintains the security retainage program associated with state construction projects; and is responsible for maintaining the inventory of the state's real and personal property for insurance and accounting purposes.

It provides management oversight for state employees' union travel and manages the state employee tuition reimbursement program. It handles the state's casualty loss record system. In addition, it provides management of the parking, space planning, maintenance and other critical facility needs for the agency.

Finally, it provides administrative service functions for the Insurance Purchasing and Risk Management Board.

Payroll Services Division

The Payroll Services Division pays all state employees, handles all payroll deductions, and maintains records on payroll taxes and deposits federal and state income tax withholding and social security contributions. It pre-audits and issues state employee and deduction checks on a bi-weekly basis; submits deduction reports; maintains wage execution records, and administers savings bonds and direct deposit programs. For the 1998 calendar year, Payroll Services pre-

pared wage, withholding tax and social security reports for a total of 87,928 employees. The divisions automated employee payroll system collects information transmitted from state agencies to the division through an on-line terminal-to-computer network and agency remote job-entry systems.

The payroll system accommodates unique state payroll requirements including interfaces with central agencies, mass salary changes, collective bargaining information, complex accounting transactions and extensive management reporting. In conjunction with the State Treasurer's office we worked to increase participation among active state employees in the direct deposit of payroll program resulting in a 54% participation rate.

In fiscal year 1998-99, the division processed a total of 4,271 payroll distributions, which produced 1,002,085 direct deposit transactions and 849,635 payroll checks for an average of 72,204 employee and deduction checks and direct deposits issued each bi-weekly payroll cycle. During this period, our system became Y2K compliant.

Policy Evaluation and Review Division

This division provides overall policy and program directions to the Office of the State Comptroller and its subsidiary programs. The division consists of the Policy Evaluation and Review Unit and the Compliance Review Unit (CRU).

The **Policy Evaluation and Review Unit** develops and promulgates complex accounting systems and procedures for use by state agencies to maximize accountability, standardization and cost effectiveness; monitors agency compliance with these systems and procedures; reviews reports of the Auditors of Public Accounts to ensure agency compliance with Auditors' recommendations; monitors the activities of the Institutional Activity and General Welfare Funds; performs analysis/interpretation and statewide dissemination of changes occurring as a result of collective bargaining contracts and negotiations. Staff also assists state agencies in the interpretation and implementation of procedures.

The **Compliance Review Unit** conducts independent audits each year to supplement the work of the Auditors of Public Accounts and performs fact-finding activities at the request of the Executive Office.

Retirement & Benefit Services Division

As agent of the State Employees Retirement Commission, the division administers all state pension plans except the Teachers Retirement System, providing a comprehensive package of services ranging from pre-retirement counseling to post-mortem accounting. The division provides counseling services to members of the pension plans it administers; manages computer, accounting, investigatory, payroll, training, record-keeping, and compliance activities attendant to the state's complex retirement programs; analyzes and implements statutory, collectively bargained, and federally mandated revisions to the pension plans within its jurisdiction; and plans and develops new products and services on the basis of research and analysis of retirement conditions and trends.

The division also administers state employee benefits, and manages the state deferred compensation plan. More specifically, it provides direction for plan design, benefit administration and interpretation, and policy for all state insurance benefits including medical, surgical, hospital, and life insurance. The division is also responsible for providing staff support to the Health Care Cost Containment Committee (HCCCC). The division administers continuation coverage (COBRA) for terminated employees and/or their dependents; and, it negotiates with providers to supply insurance, monitors providers, and receives and interprets reports on health care utilization and costs. Finally, the division administers the deferred compensation programs and dependent care assistance, and manages the state unemployment compensation accounts.

State Employees Retirement System statistics for the 1998-1999 fiscal year:

Benefit checks issued - 391,559; retirement applications - 1047; retirement credit purchases billed - 1,469; members counseled - 799; agency and statewide conferences with approximately 95 attending - four; refunds to contributors - 1034 and, group medical coverage in force - more than 46,840 people.

The division processed for the Municipal Employees Retirement System and miscellaneous systems approximately 54,280 benefit checks; 335 retirement applications; 442 refunds to contributors; and group medical coverage in force for more than 772 retirees.

Benefit statistics for the 1998-1999 fiscal year: group life insurance in force as of June 30, 1999 – 32,695 active employees with coverage of \$1.3 billion and 23,695 retired employees with coverage of \$315 million; paid \$238.8 million as the state's share of health insurance plans covering 55,788 active employees; 21,767 employees actively enrolled in deferred compensation programs with deferred annually \$72 million for a total plan asset value of \$738.7 million; 1001 terminated employees and/or dependents enrolled in extended medical insurance coverage; 1,353 enrolled in extended dental insurance coverage; \$6.8 million paid in unemployment compensation costs.

Public Service

In addition to the products and services mentioned above:

All of the Comptroller's financial reports are made available to the public upon request, or online through the comptroller's Internet homepage. Also available on the homepage are numbered memoranda, news releases, administrative reports to the Governor, and other items.

For the eighth straight year the Comprehensive Annual Financial Report won an award for excellence in reporting from the Government Finance Officers' Association. This report continues to be a focus of OSC's public outreach, along with improved monthly state budget reports and an annual Comptroller's report on the state's budget and economy.

OSC's Central Payroll Division continues to focus on the needs of its "customers" — agency payroll clerks, with quarterly meetings and regular communications.

OSC's revenue forecasting and economic monitoring have been strengthened so that monthly reports on the state budget have greater independent authority.



Connecticut Siting Council

At a Glance

MORTIMER A. GELSTON, *Chairman*
Joel M. Rinebold, *Executive Director*
Established - 1971

*Statutory authority - Chapter 277a,
Chapter 445, Chapter 446a,
Chapter 446d, and Chapter 446e*

*Central office - Ten Franklin Square,
New Britain, CT 06051*

Number of employees - 8 (two vacancies)

Recurring operating expenses - \$842,963.06

Mission

Regulation of facility siting to balance the need for adequate and reliable public services at the lowest reasonable cost to consumers with the need to protect the environment and ecology of the state.

Statutory Responsibility

Site regulation of electric generating facilities and substations of utilities and large private power producers, fuel and electric transmission lines, community antenna television towers, cellular telephone towers, and telecommunications towers owned or operated by the state or a public service company (Chapter 277a); hazardous waste management facilities (Chapter 445); a low-level radioactive waste management facility (Chapter 446a); and ash residue management facilities (Chapters 446d and 446e).

Public Service

The agency continually measures its efficiency and effectiveness through public statements, memoranda of law, and informal comments received from persons who participate before the Connecticut Siting Council (Council). The Council also refines its service through recommendations by the State Auditors of Public Accounts and legislative committees, including the Legislative Program Review and Investigations Committee. In addition, the Council has refined its process after reviewing and contrasting different processes and procedures used by other state siting agencies throughout the country.

Improvements/Achievements 1998-99

In 1998-99, the Council held 22 public hearing sessions, 28 energy and telecommunications meetings, and one hazardous waste meeting. The Council ruled on 25 petitions for declaratory rulings for electric generators, electric substations, electric and fuel transmission lines, telecommunications, community antenna television, and hazardous waste facilities. Certificated facilities for this year consist of two cellular telephone facilities, four electric generation facilities, and one transmission substation. The Council also reviewed and acknowledged 54 modifications of existing telecommunications facilities, and 48 requests for tower sharing at existing facilities to avoid the construction of new telecommunications towers. The Council acted on 12 Development and Management Plans to ensure compliance with its orders. The Council inspects all facilities after completion of construction to ensure compliance with its Decision and Orders.

In July 1999, the Council held hearings on the 20-year Forecasts of Loads and Resources of Electric Utilities. This forecast proceeding was held to assess existing and planned electric generation, substation, and transmission facilities. The proceeding also analyzed historical trends, the projected outlook of load, demand and the effectiveness of conservation, and load management programs. A detailed report of these forecasts is published by the Council annually.

Reducing Waste

To improve the regulatory process, the Council has developed application guides, manuals describing the Council's procedure, methods for public participation, and improved techniques for petitioning the agency for declaratory rulings. These refinements have lead to increased regulatory efficiency, improved public participation, and higher quality applications being proposed to the agency.

Strategic Planning

To avoid the construction of unnecessary facilities that would increase the cost of service to the public and potentially damage the environment, the Council encourages the shared use of existing facilities when and wherever possible. This goal has been formalized in legislation which authorizes the Council to regulate the sharing of existing telecommunications towers to avoid the proliferation of unnecessary tower structures. To advance this goal, the Council operates a geographic information system for public use to analyze proposed and alternative sites. To further assist the industry that the Council serves and to provide the public with reliable services, the Council regularly participates on the Connecticut Energy Advisory Board and the Interagency Task Force Studying Electric and Magnetic Fields.

To hasten contested condemnation proceedings, the Council has been given statutory authority to assist the courts in making determinations whether proposed takings are necessary and consistent with State Energy policy.

Information Reported as Required by State Statute

All certification proceedings of the Council are held as contested cases under the Uniform Administrative Procedures Act and include a hearing with full opportunity for due process by all members of the public, parties, and intervenors.

In compliance with Conn. Gen. Statutes Sec. 4-61 (k), the Council has adopted an Affirmative Action Policy and designated an Affirmative Action Officer. The Council has also adopted an AIDS policy.

Memberships :

Commissioner Arthur J. Rocque Jr.; Commissioner Donald W. Downes; Commissioner Henry C. Lee, MD (Appt. 7/1/98); Commissioner Joxel Garcia, MD (Appt. 5/10/99); Pamela B. Katz; Edward S. Wilensky; Dr. William H. Smith; Colin C. Tait, Esq.; Daniel P. Lynch, Jr.; Albert E. Gary

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Connecticut State University System

At a Glance

WILLIAM J. CIBES Jr.,
Chancellor

Established - 1965

Statutory authority - CGS Sec. 10a-87 through 10a-101, inclusive

System office - 39 Woodland Street, Hartford, CT 06105-2337

Average number of full-time employees - 2,712

Recurring operating expenses -
General Fund - \$152 million;
CSU Operating Fund - \$129 million

Value of real property - \$527 million
Annualized number of students - 32,412

Organizational structure - Richard L. Judd, President - Central Connecticut State University, David G. Carter, President - Eastern Connecticut State University, Michael J. Adanti, President - Southern Connecticut State University, James R. Roach, President - Western Connecticut State University

Mission

The four comprehensive universities of the CSU System - Central Connecticut State University, Eastern Connecticut State University, Southern Connecticut State University and Western Connecticut State University - are Connecticut's universities of choice for students of all ages, backgrounds, races and ethnicities. CSU provides affordable and high-quality, active-learning opportunities that are geographically and technologically accessible. A CSU education leads to baccalaureate, graduate and professional degrees, and career advancement. CSU graduates think critically, acquire enduring problem solving skills, and meet outcome standards which embody the competencies necessary for success in the workplace and in life.



Statutory Responsibility

The statutory responsibility of CSU, as reflected in Conn. Gen. Statutes Sec. 10a-87, is to offer, through each of its universities, curricula that support the pursuit of "academic and career fields," and that "prepare persons to teach in the schools of the state" and to confer degrees in such areas of study. The statute further makes the university system, through policies of its governing Board of Trustees, responsible for the protection of academic freedom and the content of course and degree programs. Accordingly, the direct beneficiaries of the system's services are the students who attend Central, Eastern, Southern, and Western Connecticut State Universities, and who consequently attain the education that "develop[s] their full potentials." The broader beneficiary is the entire state of Connecticut which benefits from the social, economic, and political contributions of an educated citizenry.

Public Service

In addition to the courses and programs offered last year to more than 33,000 Connecticut residents, and the conferral of 3,781 bachelors and 1,577 graduate degrees, CSU also provides direct public service to the state through a number of activities. These include distance education that offers interactive academic courses at hospitals and other remote sites around the state; adaptive technologies services to help elementary and secondary school students and others with physical and learning disabilities to function academically; the deployment of technology

to Connecticut manufacturers; entrepreneurial support services to assist in growing and developing small businesses in the state; and accessibility to the information superhighway for non-profit organizations throughout Connecticut.

In cooperation with the State Department of Education and the College Board, the Connecticut State University System again offered six week-long Advanced Placement Institutes over the summer at our four universities in order to prepare Connecticut teachers, especially those from the poor and/or urban school districts, to provide college level instruction at their local high schools. The disciplines covered included Biology, Calculus, Chemistry, English, Physics, and Spanish.

CCSU continues to play a key role in New Britain's economic revival. The Institute for Industrial and Engineering Technology (IET) has led the effort to turn old factory land into an attractive relocation site for San Antonio-based Alamo Water Refiners and their New Britain partners, the Tenergy Company (a one-time incubator company at IET). The City also has benefited from creation of the Broad Street Neighborhood Revitalization Zone which was led by CCSU's Center for Social Research (CSR), and the Inner City Strategic Business Initiative, a joint project with CCSU's CSR, IET and School of Business.

ECSU's Connecticut College Awareness Programs (ConnCAP) provide extensive services, including tutoring, mentoring, and campus residential experiences, to approximately 161 middle and high school students from the towns of Windham and New London. A successful certificate program in computer graphics prepares individuals to pursue careers in this rapidly expanding industry. Residential students delivered 12,000+ hours of community service to area agencies. Additionally, the University has completed its campus master plan.

SCSU's "think tank" for community leaders brings public officials and community leaders together with faculty to address local problems. Similarly, the School Action Research Center has begun to plan and develop the University's link to the New Haven public school system. SCSU faculty and students counsel over 100 Hillhouse High School students who have expressed an interest in becoming teachers. The University accepts the top high school seniors participating in this program on full scholarship. The University also operates a ConnCAP summer academic program for 90 urban secondary students from the City of New Haven.

WCSU has continued its CEO Forum and strengthened ties to the business community by bringing together area chief executives to network, develop ideas, and build synergy. The University has also expanded its Executive Forum to Not-for-Profit Executives as well. WCSU has formalized existing relations with IBM and other corporations by seeking and attaining Board of Trustees' approval for a Center of Technology Research and Productivity.

Improvements/Achievements 1998-99

This past academic/fiscal year was characterized by significant changes in approach toward the goal of serving more effectively Connecticut's various constituencies.

- FY 1998-99 marked the second year of the Governor's five-year, \$320 million capital improvement program to rebuild and revitalize Connecticut State University campuses. A number of construction and renovation projects were completed this year and others have been started. Renovations to the Copernicus Hall classroom building at Central and the Schwartz Residence Hall at Southern were finished. A new residence hall and state-of-the-art library facility at Eastern, and a residence hall and temporary library facility at Western are now open to students. Construction has begun on a new classroom building at Central, a new residence hall at Eastern, a new physical plant building at Southern, and an underground infrastructure system at Western's Midtown Campus.
- CSU launched OnlineCSU, its Internet course program, by placing 10 courses online in 1998 with a total of 71 students participating. Twenty courses were offered in spring 1999 with 185 students enrolled. Twenty-seven courses are underway for summer 1999 with more than 200 enrollments and development is underway for 31 courses in fall 1999. Southern will offer CSU's first complete degree program online when the Master in Library Science is made available in the fall of 1999.
- This past fiscal year the CSU system completed most of the year 2000 remediation necessary to ensure that on January 1, 2000 the universities' mission critical functions will be available.

- Several new undergraduate and graduate degree programs were authorized this past year: a MS in marriage and family therapy at CCSU and an MA in information design at CCSU, and a MFA at WCSU.

Reducing Waste

Following the recommendations of a recent assessment of administrative processes, CSU continues to explore ways to improve service and reduce costs throughout the CSU system.

One major initiative in this area is the replacement of the CSU System's outdated administrative software with the SCT Banner 2000 administrative software product. This software will provide us with a more efficient and cost-effective way of maintaining our financial, student information, personnel, financial aid, alumni, and development records. It is expected Banner 2000 will allow CSU to serve its students better and result in cost savings.

At each of the CSU universities, reorganizations of functions and services are increasing efficiency and reducing costs while supporting strategic initiatives. We have implemented system-wide contracts for many goods and services, including information technology needs. In addition, the system is participating in the purchase of deregulated energy through the Office of Policy and Management.

Strategic Planning

The universities continue to implement their strategic plans and have recently refined their own mission statements. Utilizing savings from the Early Retirement Incentive Plan, the presidents reallocated funds to their highest priority goals in their individual strategic plans. A summary version of the CSU Strategic Plan is available to the public.

To complement and coordinate all planning efforts, each university will continue to look for ways to integrate the strategic plan with other planning related and continuous quality improvement activities underway at the universities.

Information Reported as Required by State Statute

It is the intellectual, moral responsibility, and the policy of the Connecticut State University System to advance social justice and equity by exercising affirmative action to remove all discriminatory barriers to equal employment opportunity and upward mobility. Accordingly, through its affirmative action plans, the university system has undertaken programs to overcome the present effects of past practices, policies and barriers to equal employment opportunity, and to achieve the full and fair participation of all protected groups found to be underutilized or adversely impacted in its workforce.

For the most recent reporting period, all five of the system's affirmative action plans were in compliance with the requirements of the Commission on Human Rights and Opportunities, pursuant to the Regulations for Affirmative Action by State Government, Sections 46a-68-31 to 46a-68-74.

The system's Affirmative Action Office is located at the CSU System Office, 39 Woodland Street, Hartford, CT 06105. For more information, contact Ernest R. Marquez at (860) 493-0032.

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Office of Consumer Counsel

At a Glance

GUY R. MAZZA, *Consumer Counsel*
Established - 1974

Statutory authority - CGS Sec. 16-2a

Central office - Ten Franklin Square,
New Britain, CT 06051

Average number of full-time
employees - 16

Recurring operating
expenses - \$2,098,444

Capital expenditures - \$19,397

Mission

To ensure that all Connecticut's utility consumers receive the highest level of utility services commensurate with the lowest overall costs, primarily through the OCC's professional advocacy of consumers' interests before state and federal regulatory agencies and courts and through the provision of specialized information to enable better informed decisionmaking with respect to services and service providers.

Statutory Responsibility

The Office of Consumer Counsel (OCC) is an independent state agency with the responsibility of advocating the interests of all Connecticut consumers with respect to public service companies and utility services. The OCC is authorized to appear in any regulatory or judicial proceedings, federal or state, in which such interests of Connecticut consumers may be involved. The OCC is a party to all contested matters before the Department of Public Utility Control (DPUC) and is authorized to appeal such decisions. The regulated businesses include providers of electricity, natural gas, water, telephone, and cable television services.

OCC's statutory responsibility is fulfilled primarily by representing the interests of Connecticut's utility consumers in proceedings before the DPUC which determine rates and services. Service providers spend millions of dollars annually in seeking favorable decisions on rate, service, and policy matters with far reaching impact. The OCC is often the only party in a proceeding scrutinizing, evaluating, and prosecuting the full array of issues on behalf of all consumers, and presenting alternatives more beneficial to consumers.

Improvements/Achievements 1998-99

Traditionally, OCC's responsibilities have been fulfilled through comprehensive analysis of evidence and presentation of testimony and legal positions. Consistent with the direction set forth in OCC's recommendations, excessive rates have been found to exist, rate decreases have been ordered by the DPUC, rate increase requests have been reduced by hundreds of millions of dollars, and the quality of services has been maintained or increased. In the fiscal year ending June 30, 1999, the OCC was a party to 591 administrative and judicial proceedings.

Traditional rate proceedings will continue. The way in which utility services are provided to consumers, however, is changing. Competition is being introduced in the telecommunications industry and will follow in the electric and natural gas industries. These changes have been anticipated by the OCC and the OCC has been evolving to meet the changing needs of consumers.

As the General Assembly changed Connecticut law to introduce competition in the telecommunications and electric industries, the OCC worked to ensure that consumer interests were fully addressed. As proceedings to implement competition occur, the OCC is representing the consumer's interest in each case.

With regard to electric restructuring, dockets have been established to address stranded costs claimed by electric companies, entry conditions, codes of conduct, unbundling, divestiture of generation assets, rates, terms and conditions of the emerging competitive electric industry. OCC's primary goal is to seek benefits for consumers, maintain and increase consumer protections, and afford the opportunity for the competitive marketplace to develop and operate effectively.

A significant contribution has been the establishment of the Consumer Education Advisory Council by the OCC as set forth in new Connecticut law. The Council advises the DPUC's

Outreach Program Coordinator on the development and implementation of the Consumer Education Outreach Program. The goal of the program is to equip consumers to benefit fully from retail electric competition. To help achieve this, the Consumer Counsel appointed members with background and expertise in a full range of disciplines representing all classes of consumers.

In telecommunications, legislation has been enacted to introduce competition to produce lower prices and better services for consumers. The OCC has been vigorous in DPUC proceedings, seeking the greatest benefit possible for consumers. Where service levels declined, OCC has sought compensation for consumers. In addition, OCC has sought decisions that encourage effective competition, to ensure that consumers and the state benefit fully.

In natural gas proceedings, the OCC continues to seek lower rates for consumers. This is particularly important to customers purchasing monopoly services; i.e. customers who do not have the opportunity to save by purchasing their own gas and transporting it to their homes or who do not have other options with lower costs. In a recent proceeding, the OCC reached a settlement with a gas company for the return of over-earnings to consumers. With respect to competition in the gas industry, the DPUC has initiated a number of dockets in which OCC's goal has been to ensure that competition will benefit all consumers and that all consumer protections will be maintained or strengthened.

The regulation of cable television rates and programming has become mainly subject to Federal oversight. The state, however, has franchising authority and is able to direct that cable services meet the needs of Connecticut's consumers and communities. By making recommendations which tie past performance and future commitments with respect to considerations such as community access and customer service, the OCC seeks to ensure that subscribers receive the service to which they are entitled.

With respect to water company proceedings, OCC has sought to keep rates as low as possible, commensurate with a high level of service. Sales of land proposed by companies are scrutinized so customers will receive appropriate benefit. In an innovative program to reduce the costs of rate cases borne by consumers of smaller water companies, a procedure has been developed by the OCC and DPUC in which companies may negotiate a settlement which is then submitted to the DPUC.

In view of the changing needs of consumers, the OCC has expanded its consumer information and assistance capabilities. Staff has been added to increase OCC's ability to respond to consumer inquiries, concerns, and complaints, and to provide information.

Information Reported as Required by State Statute

The OCC is an equal opportunity employer committed to the letter and the spirit of affirmative action.

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Department of Consumer Protection

At a Glance

JAMES T. FLEMING,
Commissioner

Edwin R. Rodriquez,
Deputy Commissioner

Established - 1959

Statutory authority - CGS, Chapter
416, Section 21a-1

Central office - State Office Building,
165 Capitol Avenue,
Hartford, CT 06106

Average number of
full-time employees - 180

Recurring operating
expenses - \$10,945,131

Annual receipts - \$26,790,640

Organizational structure - Business Office; Consumer Education Unit; Commissioner's Office; Communications Division; Drug Control Division; Food and Standards Division; Human Resources; Information Systems Unit; Legal Division; License Services Division; Liquor Control Division; Occupational and Professional Licensing Division; Public Charities; Trade Practices Division (including Lemon Law and Product Safety Units)

Mission

The Department of Consumer Protection is a law enforcement and regulatory agency responsible for safeguarding the health and safety of consumers and protecting the integrity of the marketplace. The Department is charged with Protecting consumers from physical and financial injury that is the result of unsafe products and services marketed in the state, and unfair trade practices; Conducting regular monitoring inspections of food and drug establishments, job sites, children's toy retailers, and commercial establishments that use weighing and measuring devices; Responding to consumer inquiries and complaints; Investigating and administratively resolving cases of alleged fraud and unfairness; Administering the Connecticut Unfair Trade Practices Act supervising Connecticut's marketplace, overseeing public charities, issuing licenses and registrations for a wide variety of trades and professions; and Regulating alcoholic beverages and prescription drugs.

Agency Goals

- To promote the fair and efficient functioning of the marketplace.
- To improve the delivery of services provided by the Department of Consumer Protection to the public.
- To ensure the efficient management of internal operations.
- To maintain prompt, fair and accurate revenue collection and enforcement procedures.
- To implement a uniform, centralized agency-wide licensing and complaint processing information system.
- To maximize internal control of all revenue by collecting and processing money in one location and issuing periodic accountability reports on all public funds.
- To review and update regulations for greater uniformity in administrative procedures.
- To work toward a greater sharing of resources among divisions for maximization of consumer services at minimal cost.
- To achieve greater flexibility in the Department's response to unexpected and emergency situations, both for consumers and regulated entities.

The Department of Consumer Protection is a regulatory and enforcement agency responsible for policing the marketplace and protecting citizens from physical injury and financial loss that may occur as the result of unsafe, or fraudulent, products and services marketed in Connecticut. Licensure, inspection, investigation, enforcement, information & referral, and public education activities are conducted by staff in six major programs: the Regulation of Food and Standards; the Regulation of Drugs, Cosmetics, and Medical Devices; the Regulation of Alcoholic Liquor; the Regulation of Occupational and Professional Licensing; the Regulation of Trade Practices; and Management Services. The extent of the Department's broad range of regulatory oversight is unique among State agencies since its jurisdiction frequently overlaps with that of almost every other department. Consumer protection activities are enhanced by the agency's ties to related federal entities such as: the Connecticut Unfair Trade Practices Act to the Federal Trade Commission; the Connecticut Pure Food, Drug, and Cosmetic Act to the U. S. Food and Drug Administration; the Connecticut State Child Protection Act to the U. S. Consumer Product Safety Commission; and the Connecticut Weights and Measures Act to the National Institute of Standards and Technology.

The diverse nature of the Department's responsibilities demands constant vigilance against unexpected, as well as ongoing, health, safety, and product-related problems. The Department of Consumer Protection must be able to mobilize staff at any time in order to respond quickly, and effectively, to a food, drug, product safety, or other marketplace crisis.

The Department administers a number of programs that provide victimized consumers with monetary relief such as the Lemon Law Automobile Dispute Settlement Program, and the Home Improvement, Real Estate, Health Club, and Itinerant Vendor Guaranty Funds. In addition, the Department of Consumer Protection is dedicated to a strong consumer education program. Education provides consumers with the consumer self-defense skills and knowledge to help avoid deceptive, unfair, or unwise transactions that distort the fair operation of the marketplace.

The Department of Consumer Protection will continue to propose, enforce, and implement legislation intended to protect Connecticut consumers and businesses to maintain a fair and competitive marketplace. The Department will strive to meet the goals and objectives set for itself in the coming year.

Major initiatives for the biennium include the implementation of a software application that integrates the agency's major business functions, enhancements to the Department's enforcement capabilities, and further improvements to the agency's customer service delivery system with an emphasis upon electronic commerce. Other objectives include the consolidation of divisional consumer education and outreach activities into one Information and Referral program, the merger of generic business functions, and the establishment of a formal training program for agency employees. These, and other goals, have been established to make the Department's enforcement actions more effective and its services more user-friendly for all of its customers.

Statutory Responsibility

License Services Division

This division is charged with processing all of the licenses, permits, registrations, and certificates issued by the agency. In 1998-99, the division processed approximately 150,000 licenses in 188 license categories. This generated approximately \$19 million in revenue.

In 1999, the Agency will complete its final phase of consolidation of all licenses by merging liquor control permits and licenses into the License Services Division. This year, the Agency will assume the responsibility for registration or licensing of Glaziers, Home Inspectors, New Home Builders, Sheetmetal and Duct Workers, and Swimming Pool & Spa Repairers. In 1999, the Department will install a new licensing, complaint handling, and revenue recordation system that will address Year 2000 issues and provide for better and faster delivery of services to the public. This system allows for future enhancement, including e-commerce and greater Internet capabilities.

Drug Control Division

This division is responsible for the enforcement of state laws that pertain to the adulteration and/or misbranding of all drugs, cosmetics, and medical devices. It also has the authority to embargo substandard drugs, cosmetics, or medical devices, and to destroy or remove from commerce any products which may be misbranded or adulterated due to fire or water damage, mislabeling, unsanitary conditions, improper storage, and other factors. The Division is also responsible for the receipt and destruction of criminal drug evidence or other excess and undesired controlled drugs.

Legal drug distribution systems are monitored at all levels of commerce and in the professional practice of all physicians, dentists, veterinarians, podiatrists, pharmacists, paramedical personnel, other health care practitioners, and both private and public hospitals and institutions.

The Division offers professional training in the following areas: drug instruction for municipal and state police officers at the Connecticut Police Academy, the Federal Drug Enforcement Administration Training Schools, and local police in-service training academies; instruction of students in the paramedical field such as state L.P.N. programs and schools of nursing and pharmacy; in-service training programs for societies representing pharmacists, medical practitioners, and others in health-related fields.

Criminal cases are investigated involving the sale or possession of drugs and cases in which controlled drugs are obtained from legal registrants by theft, diversion, fraud or deceit. Administrative or criminal actions are brought against medical professionals alleged to be drug law violators and investigations are conducted of all consumer complaints concerning drugs, cosmetics, and medical devices.

During 1998-99, the Division conducted 338 routine inspections and audits requiring a total of 2,866 inspection hours, and 233 investigations involving dentists, nurses, pharmacists, physicians, and other health care practitioners; obtained six arrest warrants and five search warrants; entered into agreements with 18 practitioners for the surrender or suspension of their controlled substance registrations following investigations of alleged violations; referred 98 reports of completed investigations to various health-related licensing boards for administrative action; testified on 51 occasions at court trials and administrative hearings; made 62 educational presentations to a total of 1,700 persons; rendered 142 on-site advisement's to individuals and firms in the regulated industry; conducted 1,106 destruction's of controlled drugs in areas such as extended care facilities, pharmacies, and physicians' offices; routinely conducted the destruction of all surplus contraband drug evidence held by the state toxicology lab, and spent in excess of 400 hours in response to emergency situations, including fires, vehicle accidents, and drug recalls.

Communications Division

The primary purpose of this division is to keep Connecticut consumers informed of their rights and responsibilities and to alert them to marketplace frauds, product hazards, and misbranded or adulterated food and drugs. This is done through press releases, press conferences, speeches, public service announcements, booklets, fact sheets, articles written for consumer publications, the Department's Web Page and television, radio, and newspaper interviews.

This year, the division prepared 23 press releases and consumer alerts, distributed nearly 19,000 publications, and directly addressed consumers at speaking engagements and seminars held throughout the State.

Food and Standards Division

This Division works to ensure consumers safe and wholesome food products and accuracy in weight and measurement in the marketplace. This is accomplished through regulation and enforcement of: the CT Uniform Food, Drug and Cosmetic Act; the CT Unfair Trade Practices Act; the CT Bakery Act; the CT Non-Alcoholic Beverage Act; the Sanitary Code for Food Establishments; the CT Weights & Measures Act; and the Pure Food and Drug Act.

In addition to inspections, the Division handles many consumer complaints and questions and takes necessary action, including product seizures and recalls. The Division also keeps consumers informed through speaking engagements, food shows, public service announcements, fact sheets and by answering thousands of consumer-related inquiries each year.

The former Weights and Measures and Food Divisions have been merged into one unit for over a year, a union that has improved efficiency and effectiveness. Strategic planning has included a realignment of inspection territories, prioritized inspections, survey projects and a new critical control point inspection procedure.

Standards

The Agency's Measurement Laboratory is the only certification center in Connecticut and has custody of the physical standards of mass, length, volume and temperature. This Laboratory maintains the National Institute of Standards and Technology certifications and accreditation. It offers measurement counsel and serves as a reference center, providing measurement assistance to industry, government agencies, and educational institutions.

Each year, the division inspects and tests commercial weighing and measuring devices, ranging from motor truck scales with a capacity of 60 tons to precision scales used to buy and sell precious metals, as well as petroleum meters used at bulk storage terminals and home heating oil delivery truck meters.

In 1998-99, 8,687 Standards inspections were conducted at retail businesses, gasoline stations, oil companies, and truck scale locations. In addition, 31,371 Weights and Measures devices were inspected including scales and gasoline dispensers. Out of the 179,851 packages weighed for accuracy, one percent was found to be violative.

Food

In 1998-99 the Division performed the following inspections: 983-high risk retail food; 1140-retail food store; 103-economic, 2,692-bakery; 40-kosher food; 163-pesticides; 458-frozen dessert manufacturers; 73-vending establishments; 78-food warehouses; 22-apple juice and cider manufacturers; 49-non-alcoholic beverage manufacturers; 85-food processing plants, 15-food vehicles, and 98-electronic scanners.

The division also investigated 24 food truck accidents, 5 food establishment fires and 34 food recalls. It placed 12 embargoes on adulterated and/or contaminated food and supervised the destruction of that food valued at \$61,271.

A total of 677 consumer complaints were investigated and satisfactorily resolved.

Legal action included seven Chapter 418 complaints, 24 hearings and 122 regulatory letters that resulted in \$53,750 in revenues from penalties.

The Division conducted 55 inspections under contract to the federal Food and Drug Administration, generating revenue of \$29,500.

The Division collected 1,259 food samples for analysis by the Connecticut Agriculture Experiment Station and the Connecticut State Health Department Laboratory. Of these, 116 were fruits and vegetables analyzed for pesticides.

In the Standards area, the Division collected 600 samples of gasoline that were analyzed for octane level and MTBE additives.

The Division is responsible for licensing the following establishments: bakeries, 3,785; vending operators, 447; cider manufacturers, 101; retail frozen dessert manufacturers, 787; whole-sale frozen dessert manufacturers, 114; non-alcoholic beverage manufacturers, 283; public weighers, 705; weights and measures dealers, 134; weighing and measuring devices, 4,417; retail gasoline dealers, 1,594; weights and measures repairers, 652.

The Division also oversees 6,000 non-licensed food establishments, including retail food stores, food processors, seafood processors, food warehouses, vending commissaries, department stores, and discount food stores.

The Division also enforces the Truth-In-Advertising law in approximately 10,000 Connecticut restaurants.

Trade Practices Division

The Division is charged with enforcing laws intended to protect consumers from unfair, deceptive, or misleading business practices, to assist those who are victimized by such practices, and to promote the safety of consumer products. The Division also enforces statutes concerning the licensing and registration of occupational and professional trades. This work includes mediating consumer complaints, on-site inspections of construction sites and testing of

consumer products. Information is provided to consumers who have questions about or disputes with businesses through the Consumer Action Center.

The Department's Health Club Guaranty Fund, Itinerant Vendor Guaranty Fund, and Home Improvement Guaranty Fund are also managed by this Division, and provide compensation to aggrieved consumers.

Consumer complaints are investigated and mediated and, when appropriate, prepared for administrative action or court litigation. Complaints are also shared with other appropriate federal, state, and local agencies. The Division also responds to formal Freedom of Information Act requests. During 1998-99, more than 60,000 consumer phone inquiries and 7,500 written complaints were processed. Enforcement activities included: 464 home improvement investigations, 323 Unfair Trade Practices Act investigations, 339 occupational and professional trades investigations, 521 inspections of construction sites to verify licenses for the occupational and professional trades, and made contact with 1,720 home improvement contractors as part of an amnesty program for unregistered home improvement contractors.

The Home Improvement Guaranty Fund returned \$742,260.07 in restitution to consumers who were found by the Commissioner to have been the victims of unfair or deceptive acts by registered home improvement contractors. Only consumers who use registered home improvement contractors have access to this guaranty fund. The Health Club Guaranty Fund returned \$22,233.96 in restitution to consumers as a result of health club closings.

The Automobile Dispute Settlement Program, known as the "Lemon Law," offers consumers an avenue to resolve problems regarding defective new vehicles. A volunteer arbitration panel can award a consumer a refund or a replacement vehicle. In 1998-1999, 158 complaints were received for arbitration. Total value returned to consumers in refunds and replaced vehicles was approximately \$3 million. Nearly 85 percent of consumers who made Lemon Law claims received restitution awards.

The Product Safety Unit protects the health and safety of Connecticut citizens in their use of consumer products through enforcement of the State Child Protection Act, and ensures that filling materials used in bedding and upholstered furniture are truthfully labeled and properly cleaned through enforcement of the Bedding and Upholstered Furniture Act. Recalls are initiated when products do not comply with mandatory safety standards. There were 275 toy inspections, resulting in eight recalls with over 8,000 products taken off the shelves; 50 product safety complaints, and 250 bedding inspections generating \$7,500 in revenue.

Information Systems Unit

This Unit provides information technology support to the Agency and facilitates optimum delivery of services to consumers and the regulated industries.

This year, the Unit was involved in the implementation of a new technological system that significantly advanced the way the Agency conducts business.

Specifically, all personnel in the central office were equipped with state-of-the-art computers that greatly accelerate processing time.

The conversion of the old telephones to a modern messaging system enhanced efficiency of communication for consumers as well as staff.

The Unit also provides on-going technical support to the entire agency, including field operations. The Unit has worked closely with the Department of Information Technology to ensure that the Agency will be Y2K compliant and will continue work on the statewide "Year 2000" project to oversee a smooth transition into the new millennium.

Legal Staff

Administrative hearings attorneys support the Agency by drafting legislation, regulations, declaratory rulings, and letters for Department staff, as well as all legal documents necessary to conduct various informal and formal administrative actions. In-house attorneys also prosecute administrative hearings required to enforce Department of Consumer Protection laws and regulations.

During fiscal year 1998-99, the legal staff handled 846 complaints; 864 investigatory hearings; 152 investigative demands; 13 replies to Freedom of Information requests; 213 compliance meetings; and three declaratory rulings.

Regulations were proposed for drug control, pharmacy, shorthand reporters, real estate, as well as other miscellaneous agency issues.

Regulations were enacted for athlete agents, keg purchases, pharmacy, and food & standards.

Liquor Control Division

This division is responsible for protecting the public's health and safety through the control of the distribution, sale, and dispensing of alcoholic beverages. This is accomplished by licensing permittees and by conducting investigations and inspections.

A major function of this Division is the prevention of the sale of alcoholic beverages to minors and intoxicated persons. This year, the Liquor Control Agents joined forces with local police and trained volunteer minors to uncover sales to underage individuals. The Division was awarded a \$5,000 grant from the Coalition to Stop Underage Drinking and the Office of Policy and Management to increase investigations of sales to minors.

To assist permittees in complying with the state liquor control laws, the Division provides a simplified handout describing the most prevalent statutes and regulations pertaining to their specific permit as well as copies of Title 30, the actual statutes and the regulations.

The Department enforces statutes and regulations by ordering suspensions and revocations and by accepting offers in compromise from permittees.

Liquor Control Agents are assigned to three specific units: New Applications and Renewals, Police Referral, and Enforcement. Liquor Control Casino Agents are assigned to the State's two casinos.

The duties in the New Application Unit include investigating and reviewing applications for suitability of the premises, permittee, and backer; conducting random inspections and assisting the Enforcement and Police Referral Units.

The Enforcement Unit investigates complaints and assists task force and law enforcement personnel in their investigations. These complaints range from sales to minors and intoxicated persons to the sale of illegal products. This is the Unit responsible for ensuring compliance by the regulated premises.

The Police Referral Unit investigates police referrals. Witnesses are located and interviewed to determine violations of the liquor statutes and regulations.

Liquor Control Casino Agents check for sales to minors and intoxicated persons and for compliance with applicable statutes and regulations.

The Division personnel conduct and participate in educational seminars for public groups, industry, and law enforcement personnel on all aspects of the Liquor Control Act, particularly the identification of intoxicated persons and fraudulent identifications, the investigation of the conduct of permit premises, and the investigation of sales to minors, including "sting" operations with law enforcement agencies.

The Division has streamlined the application process and eliminated inspections of certain types of permit premises. The Division has merged its licensing functions into the License Services Division, which will expedite the permit process.

Public Charities Unit

The Public Charities Unit serves to protect the public from fraud and misrepresentation in the solicitation of funds for charities, to prosecute persons and organizations engaging in such fraud or misrepresentation, to collect information on the financial activity of charities in Connecticut, and to disseminate the information to the public.

The unit has prepared the Department's 12th Annual Report on Charitable Telemarketing, establishing one of the lowest-ever uses of paid telemarketers by charitable and civic organizations in Connecticut, and the highest average percentage return ever received by these organizations, since monitoring was begun.

In 1998-99, the Unit registered 6,278 charitable organizations and 69 professional fund-raisers. The Unit addressed 1,634 complaints and requests for information on charities, held 55 investigatory compliance hearings and collected \$122,945 in filing fees.

Occupational and Professional Licensing Division

This Division is composed of three major units consisting of occupational, professional, and real estate. The Unit administers the regulatory responsibilities for 16 boards, commissions, and councils.

The licensing boards and commissions establish and maintain the educational, training, and examination standards that must be demonstrated by each applicant before a license is issued by the Department and may impose sanctions on any licensee who is determined to be in violation of state law. The penalties include reprimands, suspension or revocation of licenses, as well as civil penalties.

In addition to assisting the boards, commissions, and councils in performing their regulatory responsibilities, division staff review all applications for licensure and oversee the preparation and administration of all license examinations.

The Athletic Unit oversees boxing in the State. Licenses are required for all announcers, boxers, seconds, timekeepers, matchmakers, promoters, managers, referees, and judges. The Department collects license fees, the 5 percent state Athletic Tax, and the 10 percent state Admissions Tax.

Division staff also administer the regulatory responsibilities of the Real Estate Commission and are responsible for the enforcement of real estate and appraisal law, as well as overseeing real estate sales, management, and appraisal business. Division staff conduct investigations of consumer complaints as well as field inspections of real estate and appraisal licensees' offices to ensure compliance with state statutes. The Division qualifies and monitors real estate/appraisal courses and advertising in accordance with Real Estate Commission guidelines for candidates who must meet both the pre-licensing and post-licensing requirements. The Department's Real Estate Guaranty Fund is managed by this Division and provides compensation to consumers aggrieved by real estate licensees. Companies are required to be licensed under the Interstate Land Sales statute if they promote or offer within Connecticut land that is located outside of the state.

The division registers Community Property Managers and certifies real estate brokers to make public offerings of shares of trust deeds or promissory notes secured by real property.

Improvements/Achievements 1998-99

In the Trade Practices Division, significant improvements have been realized with the installation of the Agency's automated telephone system. The new ACD system for the Hotline has improved the response to public inquiries and complaints while providing automated, detailed statistical results of the nature and volume of calls.

The number of home improvement contractors increased by 1,821 or 62 percent over the previous year, the result of the Home Improvement Amnesty Task Force. This program collected \$53,850 in civil penalties from 145 unregistered contractors.

The Product Safety Unit found three violative toys that resulted in a national recall.

The Drug Control Division implemented a new computerized controlled drug auditing system that enhances the ability of the Drug Control Agents to conduct audits in both community and institutional pharmacies. This Division oversaw the final adoption of the new Pharmacy Practice Regulations that completely replaced the obsolete existing regulations, a program that began in 1977.

License Services has completed the conversion of 6,000 liquor permits reflecting 60 different types. This caps the Agency's goal of merging all its licenses, permits, registrations, and certificates into one Division.

By relocating to the central Action Center, the Division staff can now better meet the needs of "walk-in" consumers. Further, the Division has established a website address making the application process available to online consumers and has shared detailed information about all of its 150 types of licenses, permits, and registrations with the Connecticut Licensing Information Center (CLIC) web page to assist consumers, both in-state and out-of-state.

The Communications Division won the "Excellence in Consumer Education" award from the National Association of Consumer Agency Administrators; was invited by the Direct Selling Education Foundation to showcase ideas for electronic consumer education to an international conference and prepared the Agency's first electronic consumer handbook to be added to our web page.

Governor's Service Award

The Governor's Service Award was presented to Lead Consumer Information Representatives Deb Hallisey and Mark Giulietti and to Fiscal Administrative Officer Cheryl Meyer. Ms. Hallisey and Mr. Giulietti were recognized for their outstanding efforts in the Department's very successful Automobile Dispute Settlement Program (Lemon Law). This program has brought more than \$40,986,664 in refunds or replacements to 3,374 owners of defective new cars since its inception. Ms. Meyer was honored for Excellence in Customer Communication and Customer Service. Her knowledge of the Liquor Control Division, courteous attention to detail, and helpfulness to consumers were acknowledged in this award.

Strategic Planning

The Department of Consumer Protection's first Strategic Business Plan, which was completed during the 1997-98 fiscal year, focused upon improvements to the agency's three major business functions: enforcement, licensing, and management services. Specific emphasis was placed upon enhancing the agency's enforcement capabilities, improving its delivery of services to the public, and coordinating management functions in a manner that would facilitate achievement of the plan's goals and objectives.

Several of the most important recommendations were realized during Fiscal Year 1998-99, including the upgrading of agency computer hardware, the installation of a new agency telecommunications system, the reallocation of office space to reflect organizational changes, and to position the agency to accomplish electronic commerce. The Department expanded its use of the Internet and established three websites, which provide information on licensing, enforcement, and consumer issues. These websites are as follows:

DCP Main Web site	www.state.ct.us/dcp
DCP Online Licensing Site	www.dcp.state.ct.us.dcp/licensing
DCP Drug Control Division Site.	www.ctdrugcontrol.com

Pursuant to the Agency's Strategic Business Plan, the Consumer Education Office was established in April of 1999 in order to enhance the delivery of consumer education services to the public.

The Department's strategic business planning process provides a means by which the Agency will assume a lead role in implementing electronic commerce. This process, which will continue through the coming fiscal year and beyond, will provide the agency with the direction and resources necessary to effectively serve both consumers and the regulated industry into the 21st Century.

The Department of Consumer Protection recognizes the importance of strategic business planning as a means of realizing organizational and operational effectiveness.

Affirmative Action

The Department is firmly committed to the principles and objectives of equal employment opportunity for all individuals. The Department's full-time affirmative action officer coordinates and monitors the agency's endeavors in the implementation of the Americans With Disabilities Act, Fair Employment Practices, Affirmative Action, and Contract Compliance laws and regulations.

In fiscal 1998-99, 52 percent of the Department's full-time employees were female and 48 percent were male with the following composition: 78 percent white, 13 percent black, six percent Hispanic, two percent Asian, and one percent Indian. Further, 83 percent of all new hires and 100 percent of all promotions in this fiscal year were female and minority group members. The Department's affirmative action plan has been approved by the Connecticut Commission on Human Rights and Opportunities.

Information Reported as Required by State Statute

The Department has complied with all of the requirements of all federal and state requirements regarding affirmative action and equal opportunity.

Department of Correction

At a Glance

JOHN J. ARMSTRONG,
Commissioner

Peter Matos, *Deputy
Commissioner*

Jack Tokarz, *Deputy
Commissioner*

Maria M. Houser, *Deputy
Commissioner*

Dennis C. Coyle, *Deputy
Commissioner*

Established - 1968

Statutory authority - CGS Sec. 18-78

*Central office - 24 Wolcott Hill Road,
Wethersfield, CT 06109*

Number of full-time employees - 6,279

*Recurring operating expenses -
\$414,224,643*

Capital outlay - \$7,088,289

*Organizational structure - Operations
Division, Programs Division, Admin-
istration Division and Security Divi-
sion*

Mission

The Department of Correction shall protect the public, protect staff and ensure a secure, safe and humane environment for offenders in a climate that promotes professionalism, respect, integrity, dignity and excellence. The agency's mission is reflected in its back-to-basics approach, with public and staff protection the priorities, with prisons re-inforced as places to punish and deter criminal behavior, and with offender programs judged against public protection objectives and specific performance measures.

Statutory Responsibility

The Department of Correction, by direction of the court, confines and controls accused offenders and sentenced inmates in correctional institutions, centers and units, and by statute administers medical, mental health, rehabilitative, and community-based service programs.

Public Service

The agency on June 30, 1999, confined 16,776 inmates and offenders, a 5.5 percent increase when compared with the count on June 30, 1998. Including those on conditional release, correctional staff supervised a total of 18,478 offenders at the end of fiscal year 1998-99, also a 5.5 percent increase. The National Association of Uniform Manufacturers and Distributors in September 1998 named the department the nation's Best Dressed State Agency. A month later the agency celebrated 30 years of performance excellence. Staff in September 1998 contributed \$3,575 to the Caribbean Relief Fund following Hurricane Georges, and in April 1999, donated \$58,147 to Caring for Connecticut.

Operations Division

The Operations Division includes 20 correctional facilities, as well as a unit to coordinate food service functions. Correctional institutions confine sentenced males, and sentenced and unsentenced females. The Corrigan Correctional Institution in Uncasville, however, primarily functions as a jail. Correctional centers in Bridgeport, Hartford, and New Haven primarily serve as jails, as intake facilities for unsentenced males, though they also process and confine males with sentences of less than two years.

The Walker Reception and Special Management Unit in Suffield serves as the agency's primary intake facility for males with sentences of two years and longer. The Manson Youth Institution in Cheshire admits and confines sentenced and unsentenced males between the ages of 14 and 21. The York Correctional Institution in Niantic processes and confines sentenced and unsentenced females; all other correctional facilities confine males.

The agency has established four corresponding security levels for correctional facilities and inmates: level 5, maximum security; level 4, high security; level 3, medium security; and level 2, low security. Level 1 inmates have been conditionally released into the community, but remain under the supervision of the department.

Programs Division

Through this division the department offers a range of programs that supply offenders with the education, training, and skills necessary for succeeding in society. Through Correctional Enterprises of Connecticut and educational, substance abuse treatment, health, mental health, recreational, religious, and volunteer service programs, inmates gain opportunities for positive change and successful reintegration into the community following discharge.

Addiction counselors promote recovery and counter relapse through four levels of treatment. Industries operations reduce inmate inoccupation and promote work habits, skill development, and occupational training. Chaplains supply inmates with the opportunity to practice their beliefs; and community volunteers augment and enhance correctional staff. Unified School District No. 1 offers instruction ranging from high school equivalency and English as a second language, to special education and technical, trade, vocational, and post-secondary opportunities. In conjunction with the University of Connecticut Health Center in Farmington, the department supplies offenders with a continuum of quality health care, maximizing individual and collective wellness within a managed-care environment.

This division, whose staff also liaise with the Inmate Legal Assistance Program and the correctional ombudsman, includes functions that assess, classify, and assign offenders; evaluate inmate programs; coordinate research and technology implementation; and conduct pre-service and in-service training.

Administration Division

This division develops the agency affirmative action and equal opportunity plans, and handles all human resource endeavors: the recruitment and retention of qualified staff, labor relations management with various employee organizations, classification, compensation, in-house promotional examinations, and the promotion of staff personal and professional growth. It also develops and implements the operational budget and fiscal functions, and serves engineering, construction and maintenance needs.

Field and Security Operations Division

Security encompasses a range of emergency operations: three correctional emergency response teams, two special operations groups, three hostage-negotiation teams, 20 dog-handler teams, and a firearms section. It also includes five community enforcement offices, the departmental Honor Guard and Pipe and Drum Band, three transportation units, and a medical-surgical ward at the University of Connecticut Health Center in Farmington, as well as sections to gather intelligence and to maintain Central Office security and to conduct departmental investigations, security audits, employee background checks, and telephone monitoring. Security staff work closely with the offices of the Attorney General and Chief State's Attorney, Connecticut State Police, Statewide Gang Task Force, and law enforcement agencies throughout the state and nation. The division also includes an External Affairs Unit, which incorporates legislative and legal functions; a public information office; and standards and policy functions, the drafting of state regulations, and departmental administrative directives.

Improvements/Achievements 1998-99

Operations Division

The agency this year continued its strong emphasis on public and staff safety, and facility security. When comparing calendar year 1994 with fiscal year 1998-99, escapes had plunged 96 percent, inmate-on-staff assaults had dropped 45.1 percent, inmate-on-inmate assaults had declined 28 percent, furloughs had fallen 94.7 percent, and inmate disciplines had dipped 11.3 percent—despite a 17.7-percent increase in the incarcerated population between Dec. 31, 1994, and June 30, 1999.

Bridgeport Correctional Center (Bridgeport). The inmate population at year-end: 873. This high-security jail, which confined both pretrial and sentenced offenders on a relatively short-term basis, served the Bantam, Bridgeport, Danbury, Litchfield, Norwalk and Stamford superior courts. Completed facility projects this year included a perimeter enhancement, lobby renovation, new staff parking area, and new noncontact visiting rooms in two units. Inmates in the low-security Madison Unit participated in a range of community-based programs and services.

Brooklyn Correctional Institution (Brooklyn). The inmate population at year-end: 473. Inmate programming at this medium-security institution for sentenced offenders focused on education and treatment. The prison served superior courts in Danielson, Hartford, New Haven, New London, and West Haven. Staff offered extensive substance abuse classes, a five-part sex offender treatment program, and anger management instruction. Community service was an integral part of the facility's mission. Lockers were installed in the officers mess and Plexiglas enclosures in all dayrooms. Jean Hansen was selected as agency Teacher of the Year. Inmates this year cleaned state and local highways, aided numerous social services organizations, church groups, and senior citizen activities, and spoke to at-risk youths in several schools. Via Brooklyn Cares, a charitable organization involving both staff and inmates, the facility also supported the Girl Scouts, 4-H, sports leagues and charity fundraisers.

Cheshire Correctional Institution (Cheshire). The inmate population at year-end: 1,384. The state's largest high-security institution, Cheshire confined long-term, adult sentenced offenders. It also operated a protective custody unit. Inmates in a vocational woodworking class crafted wooden maps of the U.S. that were donated to schools in seven communities; they also created signs and logos for Elks clubs and fire departments, and a large mural for the Wadsworth Athenaeum in Hartford. Staff completed a comprehensive unit operations manual. The facility in fiscal year 1998-99 upgraded its perimeter fencing and roads, and exterior lighting and security zones; installed inner compound management fences and motorized gates; and completed a lead-abatement project in the North Block. Staff expanded treatment programming and initiated Life in the Spirit seminars. A vocational class reconditioned used bicycles and presented them to Danbury Youth Services.

Corrigan (Raymond L.) Correctional Institution (Uncasville). The inmate population at year-end: 833. This high-security institution confined pretrial and sentenced offenders, and contained units for such specialized populations as the elderly, youthful offenders, and gang members. It served superior courts in Danielson, New London, Norwich, and Windham. The prison this year constructed noncontact visiting areas, installed additional razor ribbon on its perimeter, and established a fitness center for employees. Staff updated all unit directives and post orders. Robert York was selected as agency Correction Officer of the Year.

Enfield Correctional Institution (Enfield). The inmate population at year-end: 725. Because Enfield served as a medium-security facility for sentenced offenders who generally were active in programming, it focused on substance abuse treatment and educational and vocational instruction, including apprenticeships in graphic communications, small engine repair, and building maintenance. The prison in fiscal 1998-99 renovated its maintenance and lock shops, and installed a tower in the recreation yard, exhaust fans in all inmate units, and smoke evacuation hatches in the restrictive housing unit. Staff this year also initiated the Technology Education Exploratory Program for youthful offenders, and divided visiting on the weekends to enhance security. Enfield's Prisoner Outreach Program endeavored to educate the public on crime prevention and awareness, and to encourage at-risk youths to avoid drugs and gangs.

Garner (Ward A.) Correctional Institution (Newtown). The inmate population at year-end: 723. Garner, a state-of-the-art high-security prison, operated an extensive mental health program, as well as a close custody program for gang leaders, and a close monitoring unit for gang members. The often-replicated, renowned Phase Program continued to reintegrate gang leaders into the general inmate population. Through the Turning Point Program, Garner staff worked with students in 19 high schools to prepare them for challenging circumstances. The prison this year constructed maintenance and storage barns, replaced floor tiles in its housing units, completed a water main project, and relocated control panels. The American Correctional Association selected the close-custody program at Garner as a Correctional Best Practice.

Gates (J. Bernard) Correctional Institution (Niantic). The inmate population at year-end: 907. This low-security prison, an open compound consisting of 11 buildings, three of which are dormitories, served as a prerelease facility. Under the supervision of Gates officers, inmates

this year supplied 4,000 hours of labor to various civic and nonprofit organizations in Chester, Groton, East Lyme, Haddam, Montville, Norwich, Old Lyme, Sprague, and Waterford. Via Project Reach, staff and inmates talked about gangs, drugs, and the importance of decision-making with students in New Haven and Hartford, and at schools throughout Eastern Connecticut. The facility, by agreement, also supplies a full-time inmate crew to the Connecticut Valley Hospital in Middletown. Inmates at Gates this year began to occupy the Trumbull and Shaw buildings on the grounds of the adjacent York Correctional Institution. Anthony O'Brien was selected as agency Vocational Instructor of the Year.

Hartford Correctional Center (Hartford). The inmate population at year-end: 1,054. This high-security jail held sentenced and unsentenced offenders, and contained a protective custody unit and three mental health units, as well as two specially designated areas for pretrial youths. It served superior courts in Bristol, Enfield, Hartford, Manchester, Middletown, New Britain, Rockville, and West Hartford. Programs at Hartford were based on community reintegration or substance abuse treatment. Staff spoke at schools in Hartford, Manchester, South Windsor, West Hartford, and Windsor. The jail this year installed an inkless fingerprinting machine, converted its heating system from oil to natural gas, installed new body alarms and upgraded the system. A facility-wide inventory was launched; the facility-wide painting project was 80-percent complete; and the remodeling of all inmate shower units was completed. Staff also established a noncontact visiting area for all inmates and rewrote all post orders. Lieutenant Joseph Carlone was selected as agency Manager of the Year, and Correction Officer Richard Wojtkowski received the Medal of Valor, the department's highest award.

MacDougall (Ellis R.) Correctional Institution (Suffield). The inmate population at year-end: 971. MacDougall, a high-security institution, stressed inmate participation in educational, vocational, and industry programming to promote development. Vocational instruction included business education, building maintenance, woodcraft, graphics, and electrical repair. The optical shop crafted 3,581 pairs of glasses. The institution this year completed the construction of a negative pressure room in the health ward, close observation cells, and a dental lab and enhanced unit surveillance. It also upgraded security hardware and software. MacDougall is the only Connecticut prison with its own ZIP code: 06080. Administrative Assistant Joanne McIntosh was selected as agency Employee of the Year.

Manson (John R.) Youth Institution (Cheshire). The inmate population at year-end: 681. Manson served as a high-security institution for sentenced offenders between the ages of 14 and 21. The institution contained mental health and chronic discipline units, and served all state superior courts. The facility operated four programs for offenders: Thresholds, Equip, Beyond Fear, and Gang Awareness. Staff this year initiated a culinary arts program, self-esteem workshops and technical preparation courses, as well as college courses via a federal grant. They also conducted 19 tours in fiscal year 1998-99 for students from area schools. The facility replaced flooring, installed new body alarm, telephone and public address systems, and moved the armory and warehouse areas.

New Haven Correctional Center (New Haven). The inmate population at year-end: 837. This direct-intake center served the Ansonia, Derby, Milford, Meriden, New Haven, and Waterbury superior courts. It confined men who either were accused, sentenced with pending legal action, or sentenced and nearing release. Staff of the high-security detention facility, composed of both cells and dormitories, this year processed almost 10,000 admissions. More than 1,000 area youths participated in the jail's Choices Program, where staff volunteers helped them build self-esteem and make responsible decisions; Counselor Supervisor Kenneth Bush in August 1998 received the prestigious Governor's Award for directing the Choices Program. Employees this year implemented new DNA protocols and a medication accountability system, and updated post orders and emergency procedures. The jail installed new control panels and locks, upgraded the kitchen and computer terminals for counselors, added air purifiers, installed cell windows, reconfigured heating ducts, and increased the number of surveillance cameras.

Northeast Correctional Institution (Storrs). The inmate population at year-end: 248. The number of men incarcerated at this facility, which reopened on February 1, 1999, is anticipated to reach 500 later in 1999. As a prerelease prison, all Northeast programs focused on inmate development to reduce recidivism. Work details operated in two area communities: Mansfield and Willington.

Northern Correctional Institution (Somers). The inmate population at year-end: 316. Connecticut's state-of-the-art, maximum-security prison held inmates who were sentenced to death, or who were placed in administrative segregation or chronic discipline status for demonstrating an inability to adjust to confinement, or for posing a threat to the public, staff, or other inmates. The majority of those confined at Northern were involved in assaults on staff, riotous behavior, or escapes. Inmates have the opportunity to modify defiant or antisocial behavior, and return to the general population through a highly structured, three-phase instructional program. Northern this year installed additional cameras, an upgraded body alarm system, and computer equipment. Sprinkler guards were situated in all cells to prevent inmate tampering, and recreation yard cages were reinforced. Staff revised the policies governing the transportation of high-security inmates. Correction Officer James Zuccalo received the Medal of Valor, the department's highest award.

Nutrition Services Unit. This year the unit on average produced more than 50,000 meals every day. For example, every month correctional kitchens prepared more than eight tons of hot dogs alone. Food service supervisors also participated in the Food Share Program for the hungry in Connecticut, and supported the emergency needs of the American Red Cross.

Osborn Correctional Institution (Somers). The inmate population at year-end: 1,702. Osborn, Connecticut's largest prison and the only medium-security facility with cells, confined sentenced and unsentenced inmates, and served the Rockville superior court. More than 500 students from throughout Connecticut in fiscal 1998-99 participated in the facility's community outreach program. The inmate Jaycees chapter raised more than \$3,000 for the Sickle Cell Foundation, Families in Crisis, Make a Wish Foundation, and domestic abuse organizations. Osborn this year began the second phase of its roof replacement project and the construction of a new Sallyport. The facility also issued new body alarms to staff, replaced all heating controls, converted a housing unit into an assisted-living dormitory for inmates with special needs, and renovated the execution chamber to meet the requirements of the state's new execution method: lethal injection.

Radgowski (Stanley J.) Correctional Institution (Uncasville). The inmate population at year-end: 635. Radgowski, a medium-security facility, encompasses four dormitories and a 175-bed annex. It maintained many programs to foster restorative justice, such as supporting charities, providing free services to civic organizations, and cooperating with numerous communities in Southeastern Connecticut. Inmates also worked daily on Department of Transportation crews and at State Police Troop E. The prison this year installed additional exterior security cameras.

Robinson (Carl) Correctional Institution (Enfield). The inmate population at year-end: 1,152. This medium-security institution confined sentenced offenders in six dormitories. The facility in fiscal 1998-99 renovated a building to house two vocational programs, established a computerized inventory system, reinforced its armory, constructed a wellness center for staff, and installed new body alarm and radio systems, additional razor ribbon, and new plumbing in the housing units. Staff established stationary restraint cells and expanded the number of outside inmate work details. Inmates in the outreach program maintained the soccer field and Purple Heart Museum in Enfield, and performed community service at local churches and fire departments. Staff offered vocational instruction in autobody repair, building maintenance, business education, culinary arts, drafting, graphic communications, horticulture and landscaping, and the use of machine tools.

Walker (Ralph H.) Reception and Special Management Unit (Suffield). The inmate population at year-end: 575. This multipurpose, maximum-security facility served all state and federal courts in Connecticut. It confined three distinctly different inmate populations: high-risk pretrial offenders who were held in lieu of bond, inmates with sentences of two years or longer who were being assessed prior to their assignment to a prison, and medium- and low-security inmates who were assigned to permanent work details. The 10-day assessment process included extensive medical, psychiatric, educational and vocational testing, as well as the objective establishment of an overall risk level and the measurement of an individual's needs. The unit this year erected additional perimeter fencing and upgraded its computer system, including touch-screen monitors in the control center and housing units. Staff expanded addiction services programming. Administration of the department's transportation function was transferred from Walker to the Field and Security Operations Division, and transportation headquarters was relo-

cated to a nearby site in Suffield.

Webster (Noah Daniel) Correctional Institution (Cheshire). The inmate population at year-end: 552. This low-security, prerelease institution served as the site of the department's driving-while-impaired program. An average of 130 inmates daily worked on projects for state and municipal agencies and nonprofit organizations in Beacon Falls, Bethany, Cheshire, Farmington, Hartford, Meriden, Middletown, Naugatuck, Newington, Orange, Rocky Hill, Southbury, Southington, Thomaston, Waterbury, West Hartford, and Wethersfield. Staff and inmates in the Steer Straight Program appeared 34 times in area schools and at other locations throughout the state. Webster, this year, created an armory area, retiled dormitory shower areas, and installed stainless steel tables in the dayrooms. Staff also established program-specific dormitories.

Willard (William)-Cybulski (Alexander J.) Correctional Institution (Enfield and Somers). The inmate population at year-end: 1,042. One management team administered this low-security institution, which included the Willard and Cybulski buildings that were located in separate towns, but merely separated by a few hundred yards. The inmate management model employed here included assessment, substance abuse, domestic violence, personal growth, family dynamics, and community and transitional phases. The facility participated with Somers and Enfield in the Partnership for Community Protection to address local public safety issues. Under staff supervision, inmates in the Action Drama Program performed in six communities. Inmate crews also worked in Bloomfield, East Windsor, Enfield, Glastonbury, Hartford, Manchester, Somers, Stafford, Vernon, Wethersfield, Willington and Windsor Locks. The facility this year enhanced its perimeter security fence, and increased its capacity by 164. Staff initiated a family reunification program for inmates.

York (Janet S.) Correctional Institution (Niantic). The inmate population at year-end: 1,093. This maximum-security facility served all superior courts in Connecticut. Staff of this multipurpose facility assessed and confined all pretrial and sentenced female offenders, whatever their security level, and offered an extensive programming. The prison contained a range of specialized units: close custody, close monitoring, chronic discipline, protective custody, administrative segregation, and restrictive housing. Under the direction of community outreach officers, York inmates this year worked regularly in Ashford, Chester, Hebron, New London, Old Lyme, and Waterford. Through the efforts of the district maintenance staff, the department this year created a pleasing and well-fit daycare center adjacent to York for the children and dependents of staff.

Programs Division

Addiction Services Unit. According to the department's objective classification system, approximately 85 percent of confined offenders had demonstrated a need for drug or alcohol treatment; at any given time this year, between 9-13 percent of the inmate population were receiving treatment. This unit intervened to promote recovery and counter relapse through four levels of treatment. Staff in fiscal year 1998-99 outlined the symptoms of chemical dependency, the cycle of addiction, and available correctional programs for 6,872 inmates (Tier 1) at eight jails and prisons. They also supplied intensive outpatient treatment to 1,870 offenders (Tier 2) at 12 facilities, nonresidential daycare programming to 450 others (Tier 3) at six prisons, and full-time residential treatment programming to 750 inmates (Tier 4) at four institutions. Approximately 50 percent of inmate participants completed these programs. Less than 1 percent of those receiving treatment failed urinalysis testing. Clinical supervision continued at 18 facilities, with nine also offering aftercare programs. Counselors this year conducted 9,588 individual treatment sessions and 9,459 group sessions, 2,607 meetings of Alcoholics Anonymous, and 2,054 meetings of Narcotics Anonymous. Addiction Services staff initiated the VOICES Program at the Webster Correctional Institution in Cheshire and the York Correctional Institution in Niantic, in which offenders and the members of the community participated on victim impact panels. The annual audit process was restructured to allow for a more comprehensive examination of standards and documentation, as well as observations and interviews. Staff also developed a pilot program at the Gates Correctional Institution in Niantic to examine prerelease needs and develop a standard case file and transfer protocol. Addiction Services also secured \$1,244,119 in federal funds to underwrite 12 substance abuse treatment positions and 11 community-based residential beds.

Education Services Unit. Studies have confirmed that inmate education reduced recidivism and crime. Approximately 31 percent of the incarcerated population this year engaged in educational training, with the daily enrollment averaging 3,374. The department's Unified School District No. 1 awarded 1,084 GED diplomas, with inmates recording an 86-percent passing rate. The agency also offered 53 vocational and occupational disciplines, with 903 inmates this year receiving completion certificates. Teachers administered 5,085 basic education and employability competency tests, and developed 348 individual educational plans for students with special education needs. Staff coordinated 41 formal graduation ceremonies to emphasize to inmates the importance of educational accomplishment. Of the 1,004 individuals who participated in college courses, 853 completed them—an 85 percent success rate. And 699 inmates earned college credits through correspondence courses or secondary courses presented by the agency teachers and accredited through the state community-technical college system. The Department of Labor approved 35 vocational programs for apprenticeship credits. Staff this year also revised the reading and vocational curriculum, implemented the Reading to Your Children Program at seven sites, and a comprehensive transition program at the Northeast Correctional Institution, a prerelease facility in Storrs.

Industries Unit. Correctional Enterprises of Connecticut (CEC) offered inmates a realistic work experience in a business-like environment, stressing performance standards and accountability and the resulting rewards. A self-supporting operation, CEC this year employed a daily average of 344 inmates in assembling office systems and furniture, license plates, printing and laundry services, data processing, and the production of clothing and bedding. Gross sales exceeded \$6.1 million from the sale of products and services to state agencies, municipalities, and nonprofit organizations. Also, 30 inmates worked in a private-sector, cap-making operation at the Osborn Correctional Institution in Somers. This year they paid \$80,000 toward their incarceration and victim programs, and in state and federal taxes and family support. New performance outcome measures included inmate discipline, program evaluations, job skills and work-related injuries. The unit produced 527 two-bed units this year, added sport shirts and tote bags to its product mix, garnered a state T-shirt contract, invested in embroidery, printing and laundry equipment, and served the dataprocessing needs of four state agencies.

Health Services Unit. The department has established a partnership with the University of Connecticut Health Center in Farmington to supply comprehensive managed health care to offenders, which included medical, mental health, dental, and ancillary services in compliance with applicable state and federal laws, and consent decrees. Primary response, triage, emergency care and other necessary health services were supplied in a manner that minimized the security risk of transporting offenders. Staff this year assessed 491,704 offenders at intake and during sick call, conducted 13,195 physical examinations, completed 45,577 mental health evaluations, and treated 53,627 dental patients. Correctional pharmacies dispensed 400,983 medication orders. Approximately 55 percent of all drug costs involved multidrug, antiretroviral therapies in the treatment of the human immunodeficiency virus. Health service program monitors were certified as correctional health professionals by the National Commission on Correctional Health Care, and worked on a series of initiatives with companion agencies: the sex offender registry, the prison hospice program, the state HIV and AIDS care consortium, and a study on the sexually violent, as well as the continuity of offender care.

Maloney (Francis H.) Center for Training and Staff Development (Cheshire). Maloney, the department's principal training site for in-service and preservice employees, this year was accredited by the American Correctional Association after satisfying 104 standards. In fiscal 1998-99, training staff conducted four preservice orientation classes that produced 401 graduates, 273 of them correction officers. Maloney marked a milestone in July 1998 when the members of Preservice Orientation Class No. 200 completed their training. Trainers this year developed or revised 30 lesson plans, updated the on-the-job-training manual, developed an instructional video on the procedures for handling inmate funds, and coordinated several videoconferences in conjunction with the National Institute of Corrections. They also established a basic negotiator training program, expanded the pool of negotiators, and conducted a series of simulated hostage scenarios. Members of critical incident stress response teams this year assisted staff 28 times. Almost 1,000 employees redeemed MVP cards; supervisors issued them in recognition of outstanding performance. More than 2,000 staff spent more than 12,000 hours in firearms training. The state-of-the-art firing range adjacent to Maloney, with sound-

suppressing baffles and protective walls on berms, was completed. Staff in October 1998 dedicated the Department of Correction Memorial at Maloney, constructed entirely with private funds raised by employees, to honor the 150 employees who died while in active service.

Management Information Systems (MIS) Unit. MIS staff maintain technological systems to improve the supervision of inmates and promote facility security. This year they established the means for sharing electronic data with other criminal justice agencies; enlarged CorrectNet, the correctional wide-area computer network, to 10 facilities and several satellite locations; ensured that departmental systems were Y2K compliant; and continued to evaluate the telecommunication needs of correctional facilities. A correction officer at the New Haven Correctional Center in January 1999 entered the 200,000th inmate picture on the Computer Assisted Positive Identification database. The agency's photo-imaging system was made available to public defenders, and the inmate database became available to the Immigration and Naturalization Service. Approximately 130 hearings between inmates at the Walker Reception and Special Management Unit in Suffield and the Northern Correctional Institution in Somers, and the Rockville Superior Court were conducted via videoconferencing. Work also continued on a relational database to replace the inmate system.

Offender Classification and Population Management Unit. Staff in fiscal 1998-99 developed classification profiles and comprehensive risk and need assessments for 2,343 inmates, and conducted 2,181 substance abuse evaluations. These profiles enabled the agency to determine appropriate confinement locations. Records specialists testified in courts as expert witnesses, trained court personnel, and responded to 9,871 requests for information from attorneys general, attorneys, district attorneys, public defenders, judges, and police, immigration, parole and probation departments. The unit reviewed and updated its records and classification manuals. Victim Services, founded in 1996 to work closely with crime victims and to recognize their concerns and promote their dignity, supported victim advocacy groups and promoted victims' participation in parole, pardon, and community-release hearings. For the first time, the agency this year also offered in-service training on criminal victimization, as well as victim's rights and services. Through the Interstate Compact Office, the department maintained transfer agreements with 30 states and the federal Bureau of Prisons. At yearend, nine Connecticut inmates were held by the Bureau, and another 60 in other states; 54 offenders from other jurisdictions were held in Connecticut. The State Appellate Court in September 1998 affirmed a lower trial court ruling that the agency could deny good time credits to inmates in administrative segregation.

Program Development Unit. The department established this entity in April 1999 to evaluate all of its programs by adjusting or deleting existing ones, and to initiate new ones. The unit will review operating programs for location, matrices, length, leniency, restrictiveness and consistency. It also will survey the experiences of other states and their programmatic curricula and initiatives.

Religious Services Unit. Catholic, Jewish, Muslim, Native American, and Protestant chaplains in fiscal year 1998-99 conducted 8,212 worship and study sessions for inmates, as well as 41,785 counseling sessions. Offenders participating in religious services accrued significantly fewer disciplinary reports than the average for the general inmate population. Choirs from low-security facilities performed in Bristol, Darien, Hartford, Groton, Guilford, New Haven, Orange, Simsbury, and Waterbury. Staff also conducted preservice and in-service training for employees in cultural diversity.

Research Unit. Researchers collected information, downloaded daily data into the inmate database, and analyzed and modelled it to generate more than 1,200 reports for correctional facilities and units, state and federal agencies, the Connecticut Legislature, academic institutions, criminal justice organizations and the news media.

Volunteer Services Unit. This unit this year supervised a monthly average of 1,479 volunteers, who contributed a total of 141,984 hours in recovery, rehabilitation and reintegration activities for an average 9,911 inmates. They strengthened, diversified, supported addiction treatment, educational and chaplaincy programs. Recreation supervisors administered structured recreation-a range of sports, health and fitness activities-for discipline-free inmates, as well as one hour of daily unstructured group activity for the entire inmate population. They also managed inmate welfare funds and coordinated fundraising efforts for such organizations as the

Special Olympics, Ronald McDonald House, and area shelters and food banks.

Administration Division

Engineering Services Unit. This unit was responsible for supplying technical assistance, administering project management and design, and managing the capital budget and plan. In fiscal 1998-99 it monitored the completion of 61 projects valued at \$58,324,449 and initiated another 55 valued at \$4,428,333. The projects included security window upgrades, soil remediation, dormitory conversions, the upgrading of a firing range at the Maloney Center for Training and Staff Development in Cheshire with state-of-the-art safety and sound-suppressing architectures, and the installation of security lighting, cameras and recording equipment, roofing, perimeter fencing and razor ribbon, and heating and water systems. Seven correctional facilities now contain 26 operational negative-pressure rooms to isolate and treat inmates with tuberculosis. The department also invested \$350,000 in body alarms and system upgrades at eight correctional facilities.

Fiscal Services Unit. This unit administered the department's budget, directed commissary operations and inmate accounts, and maintained purchasing, accounts payable, payroll and accounting functions. A review and technical section promoted the standardization of business processes, supplied training and assistance to business users, and maintained internal fiscal controls. The average daily inmate expenditure for fiscal 1998-99 stood at \$66.64. Correctional commissaries this year processed more than 800,000 inmate orders, generating net sales of \$10.1 million and a net income of \$450,000. Commissary operators assembled and delivered 9,319 holiday packages, a one-year 50 percent increase. Purchasing handled more than 26,000 requisitions, exceeded its goal for small contractor set-asides by 26 percent and for minority business set-asides by 15 percent, and streamlined crucial purchasing procedures through the pilot P-Card Program. Grant writers obtained a three-year state grant to combine technology with increased canine patrols to detect contraband in facilities, and a two-year program funded by Criminal Justice Information Systems to install computers in community enforcement vehicles to better monitor conditionally released offenders.

Human Resources Unit. The unit endeavored to promote the recruitment, retention and development of staff; its resources this year focused on recruitment. Personnel officers posted 627 position announcements, conducted 3,447 job interviews, administered 1,252 physical agility tests, processed 582 reference checks, scheduled 515 physicals and drug screenings, and hired 399 people, with 238 of them correction officers. Personnel staff also handled 381 applications for tuition reimbursement, 388 transfer requests, and 311 applications for promotional examinations. The Labor Relations Section conducted 780 hearings and reviews. Staff this year automated the correction officer application process, initiated the electronic transfer of information in processing workers' compensation claims, and developed specifications for two new positions: correction officer first class and sergeant. Unit employees also coordinated a series of fundraisers for a range of charities, collecting \$10,594 for the March of Dimes alone. Using a \$100,000 grant from the National Institute of Justice, personnel officers initiated the three-phase FOCUS Program—the first of its type in the nation—to develop training in stress management, conflict resolution, communication and parenting, and the identification of risk factors—uniquely relevant in the field of corrections.

Field and Security Operations Division

Community Enforcement Unit. Staff of this unit administered offenders who had been released to a residential program, or to the community under transitional supervision with a sponsor. Community enforcement officers from locations in Bridgeport, Hartford, New Haven, Norwich, and Waterbury daily monitored offenders in the community to ensure that they complied with their conditions of release, and to verify their employment, program attendance, and curfew stipulations. The agency in fiscal 1998-99 contracted with 27 organizations to supply beds in the community for conditionally released offenders, and with 20 nonresidential programs to offer a range of services for enhancing their successful integration into the community following incarceration: family training, social services, employment assistance, substance abuse treatment, and individual and family counseling. The unit this year increased the number of contracted halfway-house beds from 664 to 760, and maintained a 99 percent occupancy rate.

The agency in September 1998 inaugurated a cutting-edge pilot program in New Haven in which corrections became a true partner with a local law enforcement effort. Staff identified community program performance measures and audited 55 programs for standards; initiated in October 1998 the use of electronic, random-tracking technology to monitor offenders conditionally released to Connecticut communities; continued to emphasize zero tolerance for addiction treatment compliance; established training plans for the new position of correction officer first class; and, in conjunction with Connecticut Prison Association, developed a resettlement program to assist inmates in securing sponsors and receiving programmatic support. The unit also reorganized its remand team and coordinated a criminal justice forum on enhancing public safety through substance abuse treatment.

External Affairs Unit. This unit served as liaison with the General Assembly and the Office of the Attorney General. The Connecticut Legislature in 1999 established as a class C felony the assault on an employee of the department by an inmate throwing or causing to be thrown any bodily fluid, such as urine, feces, blood or saliva, with the sentence on conviction a consecutive one. It also exempted the following requests from the freedom-of-information statute: those from inmates to obtain certain records from the department, such as manuals, drawings, audits, minutes, procedures or plans that may result in a security risk or may harm an individual. Unit staff this year responded to 621 inquiries from elected officials, tracked 75 proposed bills that affected corrections, and handled 660 new matters under litigation.

Field Operations Unit. Four sections-transportation offices in Cheshire, Niantic and Suffield; the 12-bed medical-surgical ward at the University of Connecticut Health Center in Farmington; Central Office Security; and the Honor Guard and Pipe and Drum Band-compose this unit. Officers in fiscal year 1998-99 transported 86,923 inmates for sentence review hearings, court appearances, medical appointments, halfway-house placements, discharges, and in- and out-of-state transfers, and to assist other state agencies. Transportation now also conducts all high-profile and high-security escorts. Four new high-security vans were added to the fleet, and all transportation staff became weapon-qualified. The high-security medical ward processed 337 inmate inpatients and 1,639 outpatients. The elite Honor Guard and Pipe Band represented the department at 92 public functions and agency ceremonies and events throughout Connecticut. In June 1999 it captured first-place honors at the Correctional Peace Officers Foundation ceremony in Arlington, Va.

Investigations and Intelligence Unit. Investigators monitored facility safety and security and assessed compliance with departmental policy. In fiscal 1998-99 they conducted 50 formal investigations and 138 informal ones. They also aided in 39 investigations involving other law enforcement agencies, and as part of the Statewide Gang Task Force. Staff of the Intelligence Section monitored gang activity and also worked closely with other law enforcement agencies. They assisted in 39 investigations, and designated 220 inmates as security risk groups and 169 as safety threat members. More than 250 inmates in close-monitoring status satisfied the renunciation process, and 93 completed close-custody programs. Staff recorded more than 2.5 million inmate telephone calls in fiscal 1998-99; the information obtained not only promoted facility safety and security by thwarting escape attempts, violent behavior and the introduction of contraband, it also supported 104 criminal investigations. Staff conducted 6,901 employee and pre-employment background checks, and 17 facility audits. Public information officers this year fielded more than 3,000 inquiries from the news media and the public, increased media access to correctional facilities and policies, coordinated a Media Day seminar in June 1999, produced a weekly newsletter distributed to staff, organizations, and individuals throughout the nation, and developed a crisis communication plan and an administrative directive on public information and news media relations. The department this year - for the first time in its history - disseminated a comprehensive operational manual composed of 101 thoroughly reviewed and revised directives, as well as new ones on such topics as the use of computers and related technology, and the placement of children born to incarcerated females.

Tactical Operations Unit. The sections of this unit-composed of highly skilled, specially trained and equipped personnel-handle all types of emergency preparedness: correctional emergency response teams, special operations squads, handler-canine duos, hostage negotiators, and weapons instructors. The unit, which was fully mobilized and deployed just once this year, held three training exercises in fiscal 1998-99. Staff also conducted demonstrations at schools and colleges, and at parades and municipal meetings throughout the state. The unit trained federal,

state and local agencies in riot formations and control techniques, and the use of chemical agents. Handler-canine teams in July 1998 captured six of ten events at the seventh annual Canine Olympics on the grounds of the University of Connecticut. Throughout the year they also supported drug detection efforts in correctional facilities and by police departments in Cheshire, East Hartford, Enfield, Hartford and Wethersfield, as well as State Police and Gang Task Force operations. The newly completed renovation of the firing range at the Maloney Center for Training and Staff Development in Cheshire incorporates state-of-the-art safety and sound-suppressing architectures. Negotiators responded to two critical incidents, with one of them in Stafford Springs unrelated to corrections. Staff developed the first Responder Handbook, and added 25 encrypted radios to the unit complement. Firearm instructors rewrote the firearm qualification process.

Reducing Waste

The agency returned \$3.2 million to the general fund from its legislative appropriation for fiscal 1998-99 - the fifth consecutive significant savings. Efforts by staff to operate an unusually effective and efficient correctional organization have enabled the department in the past five years to return a total of \$117 million to the general fund from its legislative appropriations.

Operations Division

Through improved scheduling, specifically the refinement of posting plans, the division continued to efficiently use its human resources and reduce overtime expenditures. The cost-effective cook-chill food preparation system at the York Correctional Institution in Niantic supplied food for 13 of the agency's 20 facilities. Cook-chill technology reduced staff requirements, improved the control of food purchases, portions and costs, and lowered the cost per meal through economies of scale. It also reduced energy and equipment costs, as well as maintenance. When compared with the previous fiscal year, food costs in 1998-99 dropped from \$2.14 to \$2.02 per inmate per day, or more than \$350,000 annually. Correctional facilities in fiscal year 1998-99 recycled 1,860 tons of cardboard, plastic, cans and glass-approximately one-third of the entire correctional waste-stream.

Programs Division

The Robert Wood Johnson Foundation issued a three-year grant to Brown University to study the effectiveness of the department's substance abuse programs. The Addiction Services Unit received a grant from the National Institute of Justice to conduct an in-depth process evaluation, focusing on Tier-4 drug abuse treatment programs. Correctional Enterprises of Connecticut will return \$500,000 to the state's general fund, and in the future annually will return 25 percent of its net income to the fund. Staff of the Volunteer and Recreation Services Unit organized and supervised a monthly average of 1,479 volunteers who contributed in-kind services to recovery, rehabilitation and reintegration programs for inmates conservatively valued at \$1.4 million. Telemedicine connections between prisons and the University of Connecticut Health Center in Farmington, and teleconferencing systems between correctional facilities and superior courts significantly reduced transportation costs, while simultaneously eliminating accompanying security concerns.

Administration Division

The department saved more than \$460,000 in natural gas expenditures from industry deregulation and competitive pricing resulting from a state contract that pooled the energy needs of agencies. The Fiscal Services Unit automated the inmate accounts and commissary point-of-sale systems, allowing staff to accelerate turnaround and to control inventory more effectively and efficiently. The agency has been authorized to assess inmates certain fees for services; the Inmate Accounts Section in fiscal year 1998-99 collected \$86,864 in fees as reimbursement for medical and educational benefits.

Field and Security Operations Division

With the addition of a mobile firing range and the renovation of the range in Cheshire to conduct firearm qualifications, overtime for instructors and transportation costs will decrease. After completing 40-hour Colt and Ruger certification courses, armorers now will repair agency weapons rather than sending them to the companies for necessary work.

Strategic Planning

Operations Division

In line with the department's constant, overriding concern for security and public and staff safety, its prison and jail administrators next year plan to strengthen security perimeters, enhance surveillance systems, and upgrade body alarm systems. Ongoing projects at the Bridgeport Correctional Center include roof improvements, gate control relocation, the rekeying of locks, a security upgrade in the North Wing, the planting of trees and bushes donated by the City of Bridgeport, establishment of a microwave detection system, and expansion of perimeter camera surveillance. The Brooklyn Correctional Institution will install additional cameras in all housing units and the dining hall, and obtain exercise equipment for employee wellness. Staff of the Corrigan Correctional Institution in Uncasville plan to review the visiting and key control policies to reduce the introduction of contraband, and to increase programming for youthful offenders. The Garner Correctional Institution in Newtown next year will complete its camera installation project. Officials of the Gates Correctional Institution in Niantic plan to renovate the industries building there to construct a 100-bed dormitory, and to use the Fenwick Building on the grounds of the adjacent York Correctional Institution to house 140 male offenders. Facility cameras will be upgraded and the noncontact visiting area expanded at the MacDougall Correctional Institution in Suffield. The Northeast Correctional Institution in Storrs, a prerelease prison, will increase its inmate work details in surrounding communities. Additional cameras will be installed at the state's maximum-security prison, the Northern Correctional Institution in Somers. The Osborn Correctional Institution, also in Somers, plans to renovate the cement walls of its housing units through the repointing of seams and the replacement of deteriorating blocks. The Robinson Correctional Institution in Enfield will install fencing and additional cameras in key areas, and create additional housing units for the elderly. A new roof alarm system, security network upgrades, and stainless steel showers will be installed at the Walker Reception and Special Management Unit in Suffield. The York Correctional Institution in Niantic, which confines all female offenders in Connecticut, will prepare two additional buildings to hold inmates. The department also plans to establish two additional daycare centers for the children and dependents of staff.

Programs Division

Staff will update the Addiction Service Unit's strategic plan. Health service program monitors plan to continue to measure compliance with operating policies and procedures, assist in critical incident assessments, measure occupational exposures to blood-borne pathogens and infectious diseases, and assess case management and utilization review. Teachers will introduce successful parenting and family literacy programs to all facilities and expand the number of community service projects. A state-of-the-art dental appliance manufacturing program and sheet metal fabrication shop will become operational next year at the MacDougall Correctional Institution in Suffield. Staff of Correctional Enterprises of Connecticut will develop a new product catalog and marketing video, and initiate an optical imagery program at the York Correctional Institution in Niantic. The Program Development Unit will establish a committee to evaluate all inmate programs and to recommend new ones, modify existing programs, and eliminate those that are ineffective. The Research Unit will construct a centralized records depot for the storage and retrieval of inmate master files, and develop a two-year growth projection of the inmate population and departmental resources. Trainers at the Maloney Center for Training and Staff Development in Cheshire will modify the agency's administrative directive on training and preservice requirements. They also will establish a committee to examine the training needs of managers. Staff of the Offender Classification and Population Management Unit at the Walker Reception and Special Management Unit in Suffield will work with the Judicial Branch to improve coordination between correctional facilities and the courts. Staff aim to stabilize the in-

mate population through more rigorous identification and classification. The Management Information Systems unit will expand the CorrectNet wide-area network to include all correctional facilities and units.

Administration Division

Staff of the Fiscal Services Unit will upgrade and combine the current commissary point-of-sale and inmate account systems by the end of 1999; this will eliminate intra-agency fund transfers and improve and accelerate account reconciliation. The Purchasing Section this year will participate in a streamlined electronic-commerce pilot program that will enable orders to be placed via the Internet. Personnel officers will incorporate the findings of the FOCUS Program in in-service training programs on stress management, conflict resolution, communication and parenting. Human Resources Unit staff also plan to revise the job specifications for lieutenant and captain.

Field and Security Operations Division

This division will continue to strengthen its relationships and cooperative programs with federal, state, and local law enforcement agencies. The External Affairs Unit next year will present legislative proposals concerning weapons storage, the naming of facilities, conformance to the federal Religious Freedom Restoration Act, clarification of peace officer status for certain correctional staff while performing their duties, and the collection of the cost of incarceration from inmates. Community Services will expand transitional supervision and residential programming caseloads. A computer system will be installed at the control center at Central Office in Wethersfield. Public information officers will expand the proactive community and media relations effort, establish an information resource center at Central Office in Wethersfield, increase the role of the unit public information officers, as well as their training, and update and expand the agency web site at www.state.ct.us/doc. The Tactical Operations Unit will work with federal authorities on a grant to assist in the purchase of body armor for staff, expand its relations with the State Police Emergency Services Unit, and incorporate FBI courses in its training base. It also will implement the use of ballistic vests during escorts and for perimeter patrols at all medium-, high- and maximum-security correctional facilities, and establish a ready room equipped with all necessary materials at Central Office to serve as an executive command center. And Standards and Policy will issue 15 new administrative directives.

Information Reported as Required by State Statute

Affirmative Action Unit. This unit, a component of the Administration Division, developed and implemented the department's Affirmative Action Plan to the Connecticut Commission on Human Rights and Opportunities, as well as the agency's Equal Employment Opportunity Plan to the U.S. Department of Justice for Civil Rights. Both plans this year underscored the department's commitment to a diversified workforce and to equal opportunity. Minority staff representation in fiscal year 1998-99 stood at 30.5 percent, significantly above the average of agencies and organizations in both the public and private sectors. Female representation stood at 25.5 percent. The Affirmative Action Unit continued to emphasize training; more than 5,800 employees this year participated in affirmative action and sexual harassment training seminars.

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Criminal Justice Commission

At a Glance

HON. FRANCIS M. McDONALD Jr.,
Chairman

Established -1984

*Statutory authority - ARTICLE XXIII
of the Amendments to the
Connecticut Constitution and
CGS sections 51-275a, 51-277
and 51-278.*

*Central office - 300 Corporate Place,
Rocky Hill, CT 06067*

Number of employees - 0

*Recurring operating expenses -
\$1,195.00*

*Organizational structure - The Crimi-
nal Justice Commission is composed
of the Chief State's Attorney and six
members nominated by the Governor
and appointed by the General Assem-
bly. Two members, by statute, must
be judges of the Superior Court.*

Mission

*The primary function of the Crimi-
nal Justice Commission is to appoint
the full-time prosecutorial officials of
the Division of Criminal Justice:
Chief State's Attorney, State's Attor-
neys, Deputy Chief State's Attorneys,
Assistant State's Attorneys and
Deputy Assistant State's Attorneys.
The Commission also meets with the
Chief State's Attorney on an as-
needed basis to discuss matters affect-
ing the operation of the Division of
Criminal Justice.*

Statutory Responsibility

The Criminal Justice Commission was established by an amendment to the Connecticut Constitution in conjunction with the creation of the Division of Criminal Justice. The Commission has statutory authority to adopt regulations to carry out its mandates.

Improvements/Achievements 1998-99

In this past fiscal year, the Commission appointed a new State's Attorney for the Judicial District of New Britain, and appointed 11 new Deputy Assistant State's Attorneys for offices throughout the Division of Criminal Justice.

Membership

Hon. Francis M. McDonald, Jr., Chairman; Hon. William J. Sullivan; Hon. William Wollenberg; Hon. Bernard D. Gaffney, Joyce A. Hopson-King*; Charles L. Howard, Esq.; Garrett Moore, Esq.; Ann G. Taylor, Esq. and Chief State's Attorney John M. Bailey.*



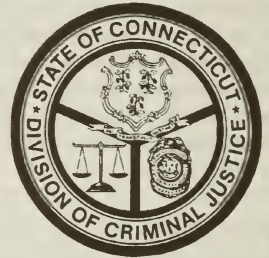
Division of Criminal Justice

At a Glance

JOHN M. BAILEY, *Chief State's Attorney*
Steven M. Sellers, *Deputy Chief State's Attorney for Administration, Personnel & Finance*
Christopher L. Morano, *Deputy Chief State's Attorney for Operations*
Established - 1973
Constitutional authority - Article XXIII of the amendments to the Connecticut Constitution.
Statutory authority - CGS §§51-276 and 51-277
Central office - 300 Corporate Place, Rocky Hill, CT 06067
Number of employees - 515 (positions authorized) - 487 (positions filled)
Recurring operating expenses - \$35.4 million (all sources)
Organizational structure - The Division of Criminal Justice is composed of the Office of the Chief State's Attorney and one State's Attorney's office for each of the state's thirteen Judicial Districts.

Mission

The Division of Criminal Justice is the agency within the Executive branch of government responsible for investigating and prosecuting all criminal matters, both in adult and juvenile courts, in the State of Connecticut. The agency also represents the state in all appellate, post-trial and post-conviction proceedings arising from the prosecution of criminal matters.



Statutory Responsibility

The Division of Criminal Justice is a constitutional agency, having been established by Article XXIII of the amendments to the Connecticut Constitution. The agency's enabling legislation is found in Connecticut General Statutes §§51-276 et seq. Pursuant to General Statutes §51-277 (b), the Division "shall take all steps necessary and proper to prosecute all crimes and offenses against the laws of the state and ordinances, regulations and bylaws of any town, city, borough, district, or other municipal corporation or authority."

Public Service

The primary beneficiaries of the Division's work are the public at large who benefit, either directly or indirectly, from the prosecution of criminal offenders. State and local law enforcement agencies are also beneficiaries of the Division's work, particularly in regard to investigative support and training.

Improvements/Achievements 1998-99

The Division of Criminal Justice continues to integrate the Juvenile Prosecutors and support staff who were transferred in July, 1996, from the Judicial Branch to the Division. In addition to the Statutory Rape Unit, which specializes in the prosecution of sexual crimes against those under the age of consent and the Provider Fraud Unit, which specializes in the prosecution of criminal matters stemming from the fraudulent use and/or receipt of state benefits, the Office of the Chief State's Attorney is now embarking on prosecution of "nuisance abatement" matters and civil litigation. The office's Asset Forfeiture Bureau now has as one of its duties litigation of nuisance laws relating to criminal offenses, thus helping to reduce urban blight and conditions which promote crime. The new Civil Litigation Bureau will handle increased civil litigation stemming from criminal matters, particularly habeas corpus litigation. The office also has vigorously reviewed its witness protection program and, through the efforts of the Governor's Law Enforcement Council, presented recommendations to the General Assembly for enhancements to ensure witness safety.

Reducing Waste

In monthly meetings with the State's Attorneys and in weekly staff meetings, the Chief State's Attorney discusses and encourages coordination of resources, efforts to reduce waste, and ways to improve productivity. The enhancement of the agency's information technology infrastructure has reduced paper waste through the production of automated computer templates for correspondence and forms. The agency also has implemented "paperless" processing of varied accounting functions and is proceeding toward participation in the state's automated programs for personnel and time and attendance record keeping. It also plans to implement usage of a "purchasing card" to facilitate certain purchases. The centralization of the Division's criminal records retention system has eased the record keeping duties of the State's Attorneys, freeing office space formerly required for records.

Strategic Planning

The mission of the Division of Criminal Justice is to investigate and prosecute the criminal matters within its jurisdiction, consistent with the state and federal constitutions and the interests of justice. The related missions of the Office of the Chief State's Attorney are to provide specialized investigative and prosecutorial resources and support for the State's Attorneys, other state agencies and state and local law enforcement and to administer the agency efficiently. To achieve these goals, Division management engages in an ongoing process of review and refinement of its administrative and operational functions. These include ongoing review of resources and their allocation, so that agency may better respond to crime trends and caseloads in the Judicial Districts and to address legislative initiatives; enhancement of training for prosecutors and inspectors; and the provision of methods and resources of all types which facilitate the overall mission of the agency.

Commission on the Deaf and Hearing Impaired

At a Glance

STACIE J. MAWSON, *Executive Director*
Established - 1974

Statutory authority - CGS Sec.

46a-27 through 46a-33

Central office - 1245 Farmington Avenue,
West Hartford, CT 06107-2667

Average number of full-time
employees - 10.67

Average number of part-time employees - 48

Recurring operating expenses -

\$792,044.00 - General Fund;

\$267,173.00 - Federal Funds;

\$891,668.00 - Reimbursements;

\$6,047.00 - Donations

Organizational structure -

Administration - Interpreting Services -

Counseling Services Job Development/

Placement Fiscal Operations - Information

Referral and Advocacy Clerical

Mission

The Commission on the Deaf and Hearing Impaired (CDHI) is created as a state-wide coordinating agency to advocate, strengthen and implement state policies affecting deaf and hearing impaired individuals and their relationships to the public, industry, health care and educational opportunity.

Statutory Responsibility

Public Act 93-262 placed the Commission within the Department of Social Services from the Department of Human Resources, effective July 1, 1993, for administrative purposes only.

Connecticut has approximately 200,000 deaf and hearing impaired constituents, 25,000 of whom are profoundly deaf. All of these individuals are affected by hearing impairments, which

significantly impact their ability to maximize their potential as citizens of the state. The Commission on the Deaf and Hearing Impaired (CDHI) provides counseling, job development/placement, interpreting services, outreach, advocacy and in-service training programs to customers and their families as a means of enhancing their abilities and broadening their opportunities.

To implement Public Act 98-252, CDHI has developed a statewide registry of interpreters for the deaf and hard of hearing. This new mandate requires CDHI to track and monitor the education and certification of interpreters working for compensation in the State of Connecticut.

As a state resource and liaison, CDHI provides support, assistance, education, and training to primary customers - deaf and hearing impaired, and to secondary customers - business, industry, education, health care providers, state and federal agencies, and the general public.

Public Service

Significant energy and staff time have been devoted to the development and implementation of the statewide interpreter registry. Information regarding the responsibility to register has been disseminated to all state agencies, schools, colleges, law enforcement agencies, and courts through a mass mailing campaign, community meetings and workshops. A database has been designed to identify those who have registered, and to keep those registered apprised of educational opportunities to achieve and/or further their skills and certifications. CDHI has sponsored meetings to clarify the registration process and its requirements to constituents, consumers, and practitioners.

The agency collaborated on crucial projects and programs such as: two statewide police training handbooks, one on disabilities and the other on sexual assault; 911 emergency services; Telecommunications Relay Services; Universal Newborn Hearing Screening; CT Works (Department of Labor); Connecticut Council on Persons with Disabilities; STATES Initiative on Family Support; Guide to Services for the Hearing Impaired, and a mentoring program for interpreting students. The commission continues the process of implementing administrative and internal control mechanisms to refine operational, fiscal, and personnel policies and procedures. Agency services are available and accessible through direct service personnel, consultation to other agencies, and new linkages to provide direct and in-direct services.

Counseling, Community Education, Information and Referral Unit

The incorporation of counseling, ombudsman activities, and job development/placement into one unit has produced a coordinated, seamless system of service delivery. The staffing levels of the unit were below normal for most of the year due to recruitment issues. A social worker trainee position was filled in the last quarter of the fiscal year.

The unit has focused on responding to requests for direct service, consulting, collaborating, and forming partnerships with other agencies to deliver services. The unit provides counseling in satellite locations including Dayville, Meriden, Waterbury, New Haven, Norwich, and several correctional facilities.

Community liaison activities have focused on public relations, communications, public awareness activities, and outreach programs to all of the agency's constituency groups. The staff ombudsman conducted 24 training programs for state and local police and firefighters throughout Connecticut on emergencies involving deaf and hard of hearing persons, and 911 TDD (Telecommunications Device for the Deaf) calls. Deaf culture and awareness lectures and seminars were offered to 42 health care agencies, educational facilities, and social service agencies reaching over 935 people. Numerous community networking meetings were coordinated focusing on projects such as the Connecticut Retirement Colony residence, AIDS Initiative, Americans with Disabilities Act, Guide to Services for the Hearing Impaired, and the Telecommunications Relay Service.

CDHIInfo, the agency's newsletter, was published quarterly reaching four thousand subscribers. Public relations and information efforts were enhanced through press releases, the agency website, and email.

Developing linkages with public and private agencies is a priority for the counseling unit. Staff participate in the Birth to Three Council, Workforce Development Board, STATES Initiative on Family Support, and Newborn Hearing Screening Task Force to implement Public Act

97-8. Consultation is provided to programs for employment, deaf mentally ill persons, deaf-blind persons, and coordination of substance abuse treatment support services to implement Public Act 85-411.

Unit staff monitored proposed legislation pertaining to hearing aid dealers, protections for purchasers of hearing aids, newborn hearing screening, and telecommunications services.

Staff provided 6,561 direct client services; these include marriage counseling 100, family counseling 266, individual counseling (including job counseling) 5,406, job placements 20, and small group therapy 15. Regionally divided 4,778 were served in the North Central portion of the state, 765 in the South Central region, 429 in Eastern Connecticut, 295 in Southwestern Connecticut, and 294 in Northwestern Connecticut. In addition, the unit staff fielded over 5,000 requests from all over the state for information and referral.

The staff ombudsman was awarded certification from the American Red Cross as a Community HIV/AIDS instructor.

Interpreting Services Unit

Significant changes have impacted the interpreting unit over the past year. The availability of approximately 25 percent of the field staff was affected by medical leave due to repetitive motion, maternity, and other health related issues.

There was a federal Department of Justice (DOJ) lawsuit settlement regarding the provision of medical emergency interpreting services which has been assigned to a private contractor; other private entities, and individuals have begun to provide interpreting services. For the first time in twenty-five years, there is an array of options for obtaining interpreter services in the state.

The unit dispatched 8,807 requests for sign language interpreters in 1998-1999. These requests cover a 24 hour/ seven day a week schedule and reflect 9,872 direct primary client contacts. Regionally divided 4,783 clients were serviced in the North Central portion of the state, 1,742 in South Central, 623 Northwestern Connecticut, 594 in Eastern Connecticut, and 1,062 in Southwestern Connecticut. Requests for Certified Deaf Interpreters to provide appropriate and legally defensible communication services to deaf persons with limited language skills totaled 119 for the year. Over 200,000 citizens throughout the state have had the opportunity to see CDHI interpreters at work in courts, classrooms, public hearings, commencement ceremonies, and other facets of daily life.

The interpreting unit staff has worked with state agencies including the Judicial Department, Department of Corrections, Department of Mental Health and Addictions as well as local boards of education to tailor the interpreting resources of CDHI to their needs. The unit has collaborated with the state chapter of interpreters for the deaf to create the Connecticut Mentorship Program and other training opportunities for students.

This year, four CDHI interpreters have achieved national certification; one has progressed to an advanced level certification.

Registration of Interpreters

A statewide registry of interpreters has been established to comply with PA 98-252. This process has created a mechanism to identify and provide training information to individuals in the field of interpreting. A total of 233 persons have registered; 53 certified interpreters, 30 individuals who have passed the written Registry of Interpreters for the Deaf (RID) exam and 150 individuals who are at various stages in training. Regionally there are 20 persons in the Southwest area, 34 in the South Central area, 28 in the Eastern area, 82 in the North Central area, and 55 in the Northwestern area of Connecticut. Throughout the year, training opportunities were forwarded to all registered interpreters.

Improvements/Achievements 1998-99

- Celebration of CDHI's 25th Anniversary; Proclamations by the Governor and the General Assembly.
- Developed a statewide registry of interpreters for the deaf and hard of hearing in compliance with PA 98-252.

- Initiated Deaf culture and sign language training for medical students at the University of Connecticut.
- Establishment of support groups for deaf and hard of hearing mothers.
- Preparation for upgrading technological components for Y2K.
- Implemented "look back" periods for part-time interpreting staff to audit and monitor appropriate participation in the state employee benefit and medical insurance programs.
- Sponsored HIV/AIDS training for interpreters.
- Reactivated Agency Safety Committee.
- Collaboration with the Office of Victim Services to make services accessible to deaf and hard of hearing constituents.
- Cross training with the Board of Education Services for the Blind to enhance services to persons with deaf-blindness.
- Co-sponsored 911 training with the Department of Public Safety to insure that deaf and hard of hearing consumers know how to access emergency service.
- Co-sponsored pay phone/TDD training.
- Revised chapters on persons with hearing loss for two police training handbooks, one on sexual assault, the other on persons with disabilities.
- Maintained fiscal accountability within budgetary allotment.
- Provided fiscal support to enable the CT Association of the Deaf to establish the National Association of the Deaf Interpreter Certification examination to increase the number of certified interpreters in CT in compliance with PA 98-252.

Reducing Waste

Labor management meetings have been held regularly to deal with personnel issues and fringe benefits cost issues for the interpreting unit. A "look back" period has been instituted to review 7 pay periods of part-time interpreters' hours to monitor eligibility for state employee insurance programs and other benefits. Cost savings to the state will accrue from this measure. The efficient management of staff time has been achieved through the increased use of email and fax communications. The cost of the production of the agency newsletter has decreased since it has been posted on the agency homepage.

While not technically a waste reduction measure, the DOJ hospital lawsuit settlement involving a private contractor for hospital and emergency medical interpreting needs has decreased the use of both full- and part-time interpreting staff and associated personnel and payroll costs including overtime.

Strategic Planning

CDHI will be pro-active in responding to the challenges of defining its mission and direction as an agency since it is no longer the sole provider for interpreting services in the state. The legislative mandate to maintain a statewide registry of interpreters has raised an accompanying need for the authority to implement quality control measures to protect the constituents receiving the services as well as the consumers who purchase such services.

CDHI will be aggressively recruiting qualified interpreters to fulfill its demand for interpreting in legal and law enforcement situations. Strategies to handle workforce and workplace issues will be developed.

Expanding outreach to the largest segment of the population with hearing loss (hard of hearing and late deafened adults) through community meetings, presentations, and consumer services will be a goal for this year. The CDHI office will be equipped with assistive listening devices to welcome and enhance accessibility and participation.

Affirmative Action

The Commission on the Deaf and Hearing Impaired is committed to implementing the letter and spirit of affirmative action, equal employment opportunity, and contractual compliance. It applies and adheres to the tenets of Sections 46a-70 to 46a-78. The commission's current Affirmative Action plan was submitted timely and was approved by the Commission on Human Rights and Opportunities.

Department of Economic and Community Development

At a Glance

JAMES F. ABROMAITIS, *Commissioner*
Rita Zangari, *Deputy Commissioner*
Timothy Coppage, *Deputy Commissioner*
Paul Pescatello, *Special Counsel*
Central office - 505 Hudson Street,
Hartford, CT 06106

Number of employees - 183

Recurring operating expenses - \$23,153,367

State/Federal Grants/ Loans -
\$144,109,399

Organizational structure - Commissioner's Office; Urban Revitalization and Investment; Business and Housing Development; Industry Clusters and International; Tourism; Infrastructure and Real Estate; Finance and Administration; Program Planning and Evaluation; Public and Government Relations; Audit and Asset Management; Human Resources

Mission

The mission of the Department of Economic and Community Development is to make Connecticut an unparalleled place for people to live, work, learn and play by providing quality technical and financial assistance in the areas of housing, economic development and tourism to businesses, local government, and community organizations.

Statutory Responsibility

Under the provisions of Section 8-37r of the Connecticut General Statutes, the Department of Economic and Community Development administers programs and policies to promote business, housing, and community development, and is the state agency responsible for promoting economic growth. DECD develops strategies and programs to attract and retain businesses and jobs, revitalize neighborhoods and communities, ensure quality housing and foster appropriate development in Connecticut's cities and towns.

Public Service

In an effort to provide quality service to its customers, the Department developed and implemented a strategic plan designed to provide accessible and streamlined services. DECD's field-based economic and community development professionals are accessible to local businesses, identifying needs and coordinating resources- both public and private- to meet those needs quickly. These highly-trained, field-based development teams link business and community development programs with the unique and individual needs identified by our private sector and municipal partners. Help for new or expanding businesses, community infrastructure, new senior citizen centers, affordable housing, support for service agencies, waterfront development, industrial park development, site location, utility rate assistance- whatever the need, whatever the goal, DECD is organized to provide sensible solutions and hands-on support every step of the way.

In creating the DECD, the Connecticut General Assembly directed the agency to focus its economic development efforts on identifying and nurturing industry clusters in Connecticut. The industry cluster model of economic development provides Connecticut with the best chance of managing its economic future. It focuses the state's leadership on the central issue of competitiveness- increased productivity and innovation. Simultaneously, it requires new levels of collaboration between competing businesses and between business, education, government and labor. At Governor Rowland's request, industry leaders from large and small companies, as well as education, legislative, labor, association, and regional cluster board leaders worked with DECD to form the Governor's Council on Economic Competitiveness and Technology. The Council will advise on policy matters relating to the development of industry clusters, the re-

sponsiveness of government agencies, and the continuing impediments to competitiveness in Connecticut.

The DECD maintains a special focus on Connecticut's cities through its Urban Revitalization and Investment Division. DECD maintains field offices in five cities – Bridgeport, Hartford, New Britain, New Haven and Hartford– all staffed by teams of urban specialists. These knowledgeable professionals work with local citizens, community organizations, municipal governments, businesses, nonprofit corporations, and others to provide technical and financial assistance for initiatives that create economic growth and jobs, provide quality, affordable housing, and promote home ownership and improve physical surroundings and amenities to make urban communities appealing places to live, work, and visit.

The DECD works to develop comprehensive economic and housing strategies not only in urban centers, but in all communities. Interdisciplinary teams in the Business and Housing Development Division work with companies, developers, and nonprofits statewide to strengthen Connecticut communities through integrated efforts to create jobs and provide quality housing. The division administers federal funds under the HOME and Small Cities programs and uses them to help municipalities and nonprofit developers carry out affordable housing and community development initiatives.

Making the best use of Connecticut's land and other material resources is key to successful economic development and DECD's Infrastructure and Real Estate Division does just that. The Division provides engineering and architectural expertise to DECD projects, as well as technical services such as feasibility assessments, review of development cost estimates, site pollution evaluation, and utility coordination. The division also works to put properties affected by pollution or environmental contamination into productive use through the agency's Brownfields Program and new Special Contaminated Properties Remediation and Insurance Fund Program, attract businesses and private investment to Connecticut's neediest communities through the Enterprise Zone Program, and develop thriving business centers through the Industrial Parks Program.

The Office of Tourism promotes Connecticut as a travel destination. It actively involves state and local governments, hotels, restaurants, arts organizations, attraction managers, regional tourism districts, and others in organized efforts to bring more visitors to Connecticut. It is anticipated that the tourism industry will create 9,000 additional jobs by the year 2000 and that its current revenue output of \$4.9 billion will rise to 5.6 billion by the year 2005.

Improvements/Achievements 1998-99

Between 1998 and 1999, DECD moved forward economic and community development initiatives which helped restore economic well-being to Connecticut and revitalization to its communities. Business confidence and consumer confidence recorded their highest ratings ever, and new housing starts were the highest in eight years. Non-farm jobs rose by 22,000 in this fiscal year and most industries continue to show strong employment gains.

Since its inception in 1998, the Governor's Council on Economic Competitiveness and Technology has led to real progress: the state's first formal cluster organization was established with the formation of the BioScience cluster; over \$1 million was committed to support three major workforce development initiatives; a Manufacturing Resource Center has been created to introduce "lean manufacturing" techniques to thousands of Connecticut manufacturers; the Initiative for a Competitive Inner City is aimed at five Connecticut cities and will result in the development of unique business strategies built on the inherent competitive advantages of inner-city locations; the Smart Start program has been established to serve new businesses in obtaining licenses and permits; and due to last years cluster legislation, medium and small size companies are able to take advantage of a 6 percent R&D tax credit and a longer carry forward period that will stimulate investment, product innovation, and job creation.

To ensure that Connecticut companies continue to increase growth in the export sector, DECD is committed to expanding Connecticut's international business export activities. Our International Strategic Action Plan advances a highly aggressive, customer focused initiative. The Department has launched a major Emerging Marketing strategy using in-country trade representatives to promote Connecticut's interests in Mexico, Argentina, Brazil, Sub-Saharan Africa, and China. The DECD also has in-market representatives in Israel and Germany. In 1998, Connecticut exports were up 4 percent over last year's record setting pace and exceeded the

1998 US rate of export growth.

The Public and Government Relations Division published four editions of DECD's quarterly newsletter, the *DECD Agenda*, and distributed it to 2,700 customers. The Division's Research section sustained joint publication with the Department of Labor of the Connecticut Economic Digest, a monthly compilation of statistics issues and trends of the Connecticut economy. In fiscal '98-'99, the Research section responded to an additional 3,000 public inquiries with an increasing readership and response via DECD's Internet website. Requests fulfilled included economic and demographic data, relocation packages, company lists, and reports on exports, businesses, and industry clusters.

The Division provided staff support to the Connecticut Economic Conference Board for its annual conference and a 1999 Report to the Governor and General Assembly; provided staff support to the Governor's Small Business Advisory Group and its 1998-99 annual report to the Governor; published the Annual Housing Production report, the Connecticut Town Profiles report, DECD's second Annual Report and initiated an update of the CT Market Data report.

The Connecticut Office of Tourism reports that Connecticut is experiencing an influx of hotel building, the opening of many new bed and breakfasts, and the creation of many new events. The Connecticut Travel & Tourism Index for 1998 rose 6.5 percent overall from 1997 with attendance at major attractions up almost 10 percent and hotel revenues up almost 12 percent.

The Program Planning and Evaluation Division completed Connecticut's 1999 Action Plan for Housing and Community Development programs and activities. It covers the time period from July 1, 1999 to June 30, 2000. The activities, programs, and resources discussed in the Plan will be administered by various agencies including the Departments of Economic and Development, Social Services, Mental Health, and the Connecticut Housing Finance Authority.

The Audit and Asset Management Division continued its work with local housing authorities and non-profit organizations and provided management oversight services to 18,800 units of state-financed affordable housing.

The Department's Human Resource Division continued its commitment to diversity and equal access to its programs and services by all segments of the population. This commitment is reflected in the efforts made to provide racial integration in its housing programs, business opportunities to minority contractors, and the implementation of its Affirmative Action Plan, approved by the Commission on Human Rights and Opportunities.

Reducing Waste

The department is committed to the principles of continuous improvement. Personnel resources have been enhanced by providing training that will more efficiently utilize staff time. All staff have computers with a Windows environment, and all have received state-of-the-art computer training. Intensive economic development and housing finance training was provided to DECD staff by the National Development Council. Seamless funding has been instituted between DECD and the Connecticut Development Authority to reduce processing time to customers. The Department has instituted strict job targets, loan monitoring, and a business assistance compliance system to protect State investments, and all loans contain default and repayment provisions. In addition, DECD regularly examines its internal processes to eliminate duplication and provide streamlined services.

Strategic Planning

Approaching Connecticut's community development needs comprehensively will maximize State resources and enhance the leveraging of private resources. To ensure the social and economic health of Connecticut, DECD seeks to reinforce the competitive advantage that results from a strong business environment, responsive government, and the best quality of life in the world.

Addressing housing, support services, economic development, and community development in a comprehensive manner requires input from DECD's private sector and municipal partners. The program focus of DECD centers on the input we receive from towns, businesses, and non-profit and community groups. The new decentralized agency was designed to set priorities so that Connecticut's business and community development agenda reflects local needs.

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Department of Education

At a Glance

THEODORE S. SERGI, *Commissioner*
Established - 1838
Statutory authority - CGS Sections 10-1, 10-2, 10-3a, 10-4, 10-4a
Central office - 165 Capitol Avenue, Hartford, CT 06106
Average number of full-time positions - 1,782
Recurring expenditures for all funds - \$2,228,920,215
Capital outlay - \$10,904,381
Organizational structure - Office of the Commissioner; five divisions - Educational Programs and Services, Finance and Administrative Services, Grants Management, School Improvement, and Teaching and Learning; and the Vocational-Technical School System.
Value of real property - \$348,540,117
Number of full-time secondary day students - 10,316;
Number of part-time adult program registrations - 10,322

Mission

Our mission is to provide - through leadership and service - insight, expertise, training, encouragement and resources to assist those in the education and related communities to succeed in helping all Connecticut students become effective lifelong learners, able to reach their personal and career goals and become involved, productive, confident and satisfied members of society



Statutory Responsibility

Connecticut's nine-member State Board of Education is responsible, under Conn. Gen. Statutes Sec. 10-4(a), for "general supervision and control of the educational interests of the state, [including] preschool, elementary and secondary education, special education, vocational education and adult education." Sec. 10-4a further defines the educational interests of the state as including the concern of the state . . . that each child shall have for the period prescribed in the general statutes equal opportunity to receive a suitable program of educational experiences.

As detailed in Sec. 10-4(a), the State Board of Education "shall provide leadership and otherwise promote the improvement of education in the state." Specific functions include research, planning, evaluation, educational technology (including telecommunications), the publishing of guides to curriculum development and other technical assistance materials, the presentation of workshops, and assessment.

The State Board also serves as the board of education for the Connecticut Regional Vocational-Technical School System, which is made up of 17 schools statewide.

Members of the board are appointed to four-year terms by the governor, subject to the approval of the General Assembly. The chairperson, appointed by the governor, is Craig E. Toensing, Falls Village, whose term expires February 28, 2001. Other members whose terms expire February 28, 2001, are Beverly P. Greenberg, West Hartford; Michael Helfgott, Storrs; and Allan B. Taylor, Hartford. Terms expire February 28, 2003, for Vice Chairperson Janet M. Finneran, Bethany; Amparo Adib-Samii, Suffield; Terri L. Masters, Wolcott; Timothy J. McDonald, Waterbury; and Annika L. Warren, Hartford. Andrew G. De Rocco, commissioner of higher education, served as an ex officio member. Two public high school students made history during the year as they became the first-ever students to serve as non-voting members of the board. The initial student appointments by Governor John G. Rowland were Grace E. Fu of Stamford and Joseph H. Reynolds of Meriden.

Under Sec. 10-3a, the Department of Education serves as the board's administrative arm.

The commissioner of education, who is appointed by the board, is the department's administrative officer and, under Sec. 10-2, serves as secretary to the State Board of Education. Theodore S. Sergi, West Hartford, is Connecticut's 12th commissioner of education.

Nurturing the Genius Of Connecticut's Students: Connecticut's Comprehensive Plan for Education 1996-2000 both sets the tone and provides specific direction for the five-year period. The central theme is clear: "There is genius in every child. . . . We also assert that all of us - citizens and educators together - are responsible for nurturing that genius. It is our job to help all Connecticut students achieve at high levels in school and to become productive and responsible citizens. An unwavering focus on greater expectations and student achievement is the key to our - and our students' - success."

The board's goals for 1996-2000 are:

- (1) to set and meet high expectations for academic achievement for all students, in order to prepare them for productive adult life, continuing education and responsible citizenship;
- (2) to create the optimal environment for learning by meeting the fundamental needs of all learners;
- (3) to set and meet high standards for the performance of teachers and administrators leading to and evidenced by improved student learning;
- (4) to focus resources effectively, efficiently, and equitably in order to ensure that all students achieve at high levels; and
- (5) to increase the direct involvement of all citizens in public education.

The plan includes expectations and specific action steps for each goal.

In 1998-99, the Connecticut public school system served 541,750 students (prekindergarten through Grade 12) in 1,054 schools and programs. The State Board and State Department of Education protect the educational interests of the state by providing **leadership** and **service** to the 166 school districts and other agencies that work directly with and for these students as well as adult learners in many settings.

Public Service

The board and department continued their emphasis on **partnership for improvement**, rather than solely monitoring for compliance, when working with school districts and others to benefit the state's learners. The action steps in the *Comprehensive Plan* consistently assert that the department will "work with school districts; provide assistance to school districts; support and encourage" districts; "share examples of best practices" with districts, parents and others; and "work collaboratively with a variety of partners" in order to meet the plan's goals. Unlike the "traditional" perception of government, the plan states that the department will "use its statutory authority to waive state requirements and to apply for waivers of federal requirements, where warranted, in order to promote flexibility and creativity for school districts in implementing their local improvement efforts."

The *Comprehensive Plan* calls for the department to "establish school improvement partnerships with urban districts to help implement successful practices to improve student performance," "develop and refine curriculum," "foster partnerships with higher education," "promote parental involvement" and "promote other practices which give students a better chance of succeeding in school." This is consistent with one of the plan's four strategic priorities: "urban education - supporting those with the greatest needs, thereby strengthening the whole system."

Formal partnerships with Bridgeport, Hartford, and New Haven have continued for three years. The most visible of these is the Hartford Partnership for School Improvement, which began with a comprehensive study of the Hartford Public Schools by the department. The urgent needs of the Hartford School System prompted 1997 legislation that replaced the locally elected school board with a state-appointed board. The law established the State Board of Trustees for the Hartford Public Schools for three to five years, and mandated both monitoring of and reporting on progress in Hartford by the State Department of Education.

The department has taken a lead role among state agencies to address Governor John G. Rowland's request to develop a statewide report on Violence in Connecticut's Schools. Re-

source documents addressing violence prevention, harassment and hate crimes were disseminated to all school districts. Communities have been encouraged to engage in "serious dialogue" and to create advisory groups to identify violence prevention activities that may be needed at the local level. The department has offered training for teachers and school administrators across the state in the areas of conflict resolution, peer mediation, character education, confidentiality, threats, risk behavior, school climate, resiliency, family violence and substance abuse prevention. Staff members are continuing to work with Drugs Don't Work! and the Safe Schools and Communities Coalition to develop a model comprehensive violence prevention policy that addresses all forms of violence, from name calling and verbal harassment to physical violence and weapon possession.

The board signed a Memorandum of Agreement with the United Way of Connecticut to facilitate dialogue and public education around issues of shared concern. The department also enlisted parent participation on more than a dozen advisory and policy groups, including the areas of Head Start, School-to-Career, CBIA Workforce Advisory Council, Early Childhood Education Council, and curriculum development. Another priority has been the extension of school facilities to meet community needs. Some of these have included family resource centers, preschool education, after-school child care, parenting, teen pregnancy prevention, adult basic education, and health clinics.

Public access to board and departmental information has been enhanced through the Internet and an expanded website. In addition, Internet email has allowed increased public access to the department's professional staff.

Thirty department staff members tutored students from the Richard J. Kinsella School in an after-school program sponsored by the West Middle School Committee, a nonprofit organization devoted to working with Hartford's schools. Tutors worked with students on a one-to-one basis as part of the department's commitment to help every child become a competent and confident reader. In another community service effort, 50 department staff members participated at the Kinsella School in the United Way Day of Caring. Staff members tutored students, assisted teachers, and planted flowers on the school grounds.

Improvements/Achievements 1998-99

The State Board of Education approved a five-year plan designed "to provide equity, excellence, and continuous improvement in Connecticut public schools." The plan, adopted in January, was required under P.A. 97-290 and is part of the state's response to the *Sheff v. O'Neill* decision. The theme of the plan, **continuous improvement**, targets achievement gains "for all students in all communities - maintaining the strong trend we have seen for the past five years; a continuous decrease in the gap in student achievement between our poorest communities and the state average; and more students participating annually in programs that reduce racial, ethnic, and economic isolation." The board's plan, which will be updated every two years, groups recommendations into the following categories: (a) reducing racial, ethnic, and economic isolation - including minority staff development and recruitment; (b) resource equity and equality of opportunity; (c) increasing student achievement and improving effective instruction; and (d) encouraging greater parental and community involvement in all public schools. The 29 specific recommendations of the plan were based on analyses of data on student achievement, racial and ethnic isolation, and program and curriculum information. It is anticipated that the plan will help shape a statewide consensus on Connecticut's public school successes, needs, and next steps - and, generate a strong commitment to continuous improvement - in all we do for our children.

A five-year trend of higher scores can be tracked on several measures of student assessment, including the Connecticut Mastery Test (CMT), Connecticut Academic Performance Test (CAPT), Advanced Placement (AP) tests, the National Assessment of Educational Progress (NAEP) and on the SAT. CMT scores improved for the fifth straight year, with the percentage of students achieving goal on all three tests improving from roughly one in five in 1993 to greater than one in three. CAPT scores improved for the fourth consecutive year, with the number of 10th grade test takers achieving the state goal in each of the subject areas up by nearly four percent. Connecticut's national ranking continues to be in the top five for all areas tested. Our fourth and eighth graders currently are ranked **first** in reading performance on the NAEP. Connecticut AP

and SAT results continued to be ranked at or near the top of the 50 states.

"Connecting with every student" was the commitment each Connecticut educator was asked to make during the year, together with adopting the philosophy that "zero loss" will help to prevent students from "slipping through the cracks," and reduce youth crime and violence. By emphasizing the importance of having high expectations, focusing on student achievement and reducing student isolation, Connecticut has made progress. Positive changes are being seen in curriculum, teaching and learning, and in student achievement.

Other 1998-99 highlights include:

- Developing and disseminating a revised set of expectations in *Connecticut's Common Core of Learning* as well as K-12 content and performance standards in 11 disciplines, and developing curriculum frameworks in the occupational cluster areas;
- Developing *Connecticut's Common Core of Teaching* as a basis for defining effective teaching across the career continuum of teachers, and *Connecticut Guidelines for Teacher Evaluation and Professional Development*;
- Developing benchmarks for preschool (ages 3 and 4) children and standards for pre-school programs;
- Publishing guidelines in the areas of learning disabilities, speech and language, assistive technology, occupational therapy and physical therapy;
- Publishing *Improving Reading Competency for Students in the Primary Grades*, and developing and implementing the state's early literacy academies, in which more than 40 teachers were trained as trainers and 2,000 teachers participated in workshops to improve their ability to teach reading;
- Conducting workshops and orientations for 2,200 educators on issues relating to state teaching certification;
- Conducting a series of eight day-long seminars for educators of English language learners to provide opportunities for all Connecticut teachers to acquire skills in educating this population;
- Implementing a comprehensive strategy to improve conflict resolution and reduce disruptive behavior in the vocational-technical schools, a plan that expanded peer mediation, trained staff members and added security personnel;
- Enhancing the state prepayment grant system to provide automated grant award letters, consolidation of grant awards and grant budgets, and expanded use of electronic communication with grantees and grant program managers; and
- Providing staff support to the Governor's Task Force to Study the Education Cost Sharing Grant and long-term state funding for education.

Reducing Waste

Reducing waste is one aspect of the department's continuous effort to increase efficiency, ease the bureaucratic burden on its customers, and enhance public service. The result of this effort is that both quality and cost-effectiveness are improved.

The department implemented a new state school construction funding program which is estimated to save more than \$1 billion in debt service costs over the next 15 to 20 years. This new program eliminates the practice of double bonding for certain program costs and reduces the amount of debt municipalities need to issue in order to finance construction. The new funding program involves communities and the state bonding and paying interest only on their respective portions of a school construction program.

Also implemented during the year were procedures that comply with regulations to procure goods and services through the use of a credit card. It is estimated that this process should eliminate approximately 10,000 purchase orders and invoices annually.

Two savings initiatives within the vocational-technical schools affect the transportation of gas at a fixed price and the development of a more efficient process of procuring some \$6 million in instructional trade equipment. Establishment of a fixed price on the transportation of gas has already generated savings of 11 percent, or \$100,000.

Other waste reduction efforts range from the use of the department's website to save printing

dollars and the implementation of E-mail and voice mail technologies to reduce costs in the purchase of postage and envelopes. The department continues to reduce the number of forms that are used in the collection of data and has installed a newer and faster remote access system for school districts to enter online information, eliminating a more costly network.

Strategic Planning

Strategic planning in the Department of Education in recent years has focused on the dual priorities of reaffirming the department's *leadership* in the education affairs of the state and providing *high-quality service* to a variety of constituencies, particularly local education agencies. *Partnership* has emerged as the defining quality of the agency's working relationships with school districts and others in Connecticut's education enterprise. Planning and implementation activities occur in two basic strands: *policy and direction* and *operations*. Both must be effective in order to ensure that Connecticut's education needs are met.

Policy and Direction - Under the guidance of the State Board of Education, the department identifies and addresses key issues related to teaching and learning and the operation of schools, districts and a variety of educational programs and services for students in preschool through Grade 12 and adults. This guidance, often based on statutory requirements, serves as the foundation of both strategic and operational planning.

Annually since 1993, the State Board of Education has published a set of priorities focusing on improving the performance of all students. The board's new five-year *Comprehensive Plan* was completed and disseminated in 1996. It continues the board's focus on higher expectations of students, educators, schools and communities, concentrating on student achievement, accountability, flexibility, creativity and responsibility. Required by state law, it is the board's most important strategic planning document and the starting point for all agency planning.

Beginning in 1994, the State Board of Education adopted **position statements** on early childhood education, elementary, middle and high school education, English as a second language and services for students with disabilities. These five position statements were published in a booklet distributed widely throughout the state. In December 1997, a second volume was published. Four newly approved position statements were included: educational technology; preschool services and programs; adult education; and school-family-community partnerships. The board adopted three additional position statements in 1998, covering the important areas of educational equity, opportunity and student achievement; school-to-career initiatives; and time in relation to student achievement.

These position statements affirm principles derived from the best thinking - the best practices - in education today: knowledge gained and understandings confirmed in classrooms. They are not curriculums or laws. They are designed to be catalysts for positive change. The statements provide perspective and context for districts' local decision making. The State Board of Education plans to continue developing and disseminating position statements on a wide range of issues which are directly related to the quality of public education in Connecticut.

Detailed, timely information also is essential to planning and decision making on the state and local levels. In April 1999, the department published a much-improved, more timely compilation of state, school district and school building data that is invaluable to both educators and citizens. *Profiles of Our Schools: Condition of Education in Connecticut* is published annually.

Operations - In response to the board's call for flexibility and creativity, the department has established the Connecticut School Improvement Initiative, an operating approach that facilitates change at the local level through school improvement planning and professional development activities. A significant focus is the consolidation, coordination and/or integration of funding sources and instructional programs or services. The objective is to reduce procedural or process requirements, enabling school districts to maximize personnel and other resources for direct services to students.

Information Reported as Required by State Statute

It is the policy of the Connecticut State Board of Education that no person shall be excluded from participation in, denied the benefits of, or otherwise discriminated against under any program, including employment, because of race, color, religious creed, sex, age, national origin, ancestry, marital status, sexual orientation, mental retardation or past/present history of mental

disorder, learning disability or physical disability.

The Office of Affirmative Action and Equal Opportunity, under the direction of the commissioner, is responsible for ensuring the agency's compliance with a wide variety of federal and state laws and department policies that address equal opportunity in employment and education. Activities related to the Americans with Disabilities Act (ADA) and Section 504 of the Rehabilitation Act include investigating grievances, determining and documenting reasonable accommodations, and visiting worksites. This office also investigates complaints (in the areas of employment practice, sexual harassment, disability/handicap and age/sex) under Title VII of the Civil Rights Act.

In addition to meeting the letter of the law, the department has instituted several innovative, highly successful programs designed to embrace the spirit of the law. These include the Administrative Intern Program and Minority Teacher Recruitment Program.

Affirmative Action

The Annual Affirmative Action Plan was submitted June 15, 1999, to the Commission on Human Rights and Opportunities. During the plan year, the department hired 161 full-time staff members; 41 percent were women and 27 percent were members of culturally diverse populations.



State Elections Enforcement Commission

At a Glance

ALICE W. LYNCH, *Chairman*
Albert Rogers, *Vice Chairman*
Jeffrey B. Garfield, *Executive Director*
& *General Counsel*
Albert P. Lenge, *Managing Director &*
Commission Attorney
Gregory Zepka, *Director of Disclosure*
& *Public Information*
Established - 1974
Statutory authority - CGS Sections
9-7A, 9-7B
Central office - 20 Trinity Street
Suite 101, Hartford, CT 06106
Number of employees - 10
Recurring operating expenses - \$662,764

Mission

To improve and maintain the confidence of the people of Connecticut in the electoral process and the officials involved in that process.

Statutory Responsibility

To enforce provisions of state election laws pertaining to elections, primaries, and referenda. The Commission is charged with the specific responsibility to conduct investigations of election complaints, review campaign finance statements filed by candidates, political parties and political committees, issue advisory opinions concerning requirements of the campaign finance laws, and suggest revisions to the election laws to the Connecticut General Assembly.

Public Service

The Commission responds to citizen complaints alleging violations pertaining to the election process and attempts to ensure the integrity of electoral outcomes. In an effort to ensure compliance by those involved in the process, the Commission staff conducted workshops for candidates and campaign officials, political action groups and organizations, and spoke to local town clerks and registrars of voters at annual conferences.

The Commission staff handled thousands of telephone requests for information concerning state election law, and issued hundreds of informal and formal opinions concerning compliance with campaign finance requirements.

Improvements/Achievements 1998-99

The Commission investigated 220 complaints, including referrals from the Secretary of the State. The Commission improved its turnover time for handling cases, averaging 34 days to resolve complaints and referrals. Enforcement efforts continued to be strong, yet reasonable. The Commission collected \$44,038 in civil penalties and forfeitures for violations of election laws.

At the Commission's initiation, the General Assembly passed and Governor Rowland signed Public Act 99-275, making Connecticut the first state to regulate so called "sham issue ads" which refer to a candidate as a campaign expenditure.

Commission publications explaining campaign finance requirements for statewide and General Assembly candidates and political party committees were revised and distributed.

The Commission's operations are now fully computerized. Plans to design a home page and implement a fax-on-demand system which can be utilized by the public to obtain Commission publications, opinions and decisions, will be effected in the near future.

Reducing Waste

The Commission is committed to reducing waste and increasing efficiency. It has limited the number of meetings held, and scheduled hearings on the same days as meetings to curb costs. The Commission's efficiency in auditing and enforcement would be greatly increased if all the campaign finance records were accessible by computer at the Secretary of the State's Office.

Strategic Planning

- To settle complaints swiftly and reduce need for full administrative hearings
- To improve enforcement procedures involved in pursuing campaign treasurers for failure to file required reports
- To review a far greater number of campaign reports for compliance purposes
- To conduct workshops, provide speakers and engage in intensive efforts aimed at educating those responsible for compliance with election laws
- To suggest revisions to the General Assembly concerning election laws which simplify the election process and improve the public's confidence
- To continue to work with the Secretary of the State to computerize the campaign finance data maintained by the Secretary of the State's Office
- To establish a website from which the public can access information concerning Commission operations, case decisions, and publications

Information Reported as Required by State Statute

The Commission has developed an affirmative action plan which complies with the Connecticut General Statutes Sections 46a-70 through 46a-78.

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Employees' Review Board

At a Glance

ROBIN E. MILLER, Chairperson
Jennifer Levine, Executive Secretary
Established - 1979
Statutory authority - CGS Sections
 5-201 - 202
Central office - 165 Capitol Avenue,
 Room 287,
 Hartford, CT 06106
Number of employees - One part-time
 secretary
Recurring operating expenses -
 Approximately \$14,000 per year
Organizational structure - The Board is
 composed of seven members appointed
 by the Governor, who serve on a part-
 time basis, and are paid on a per diem
 basis.

Mission

Its mission is to hear and decide personnel appeals of state managers and confidential employees, which groups are ineligible for collective bargaining. Appeals or disputes involve such issues as dismissals, suspensions, longevity pay, lay-off, and denial of promotions.

Statutory Responsibility

The Employees' Review Board is an autonomous state agency, within the Department of Administrative Services, for administrative purposes only. The Board hears and decides personnel appeals of state managers and confidential employees.

Public Service

The Board does not deal with the public, but only with state employees and state agencies. The Board attempts to process employee disputes/appeals in a timely and fair manner, and believes that it achieves these goals.

Improvement/Achievements 1998-99

The Board has had six (6) bi-monthly Board Meetings to deal with personnel, budgetary, policy and procedure issues. We are current with all appeal hearings and there is no backlog.

Reducing Waste

The Board has eliminated undue cost by eliminating previous occupied office space at One Hartford Square West, Hartford, CT, and merging our department within the Department of Administrative Services located at 165 Capitol Avenue, Hartford, CT.

Strategic Planning

The Board's principal objectives for the next fiscal year is to continue to hear appeals in a timely and expeditious manner so as to not create any backlog that this Board experienced when first appointed. The Board is in the process of preparing and implementing changes to the regulations.

Affirmative Action

This Board has complied with all federal and state requirements regarding affirmative action and equal opportunity. There are seven board members as mandated by state law. The members are Robin E. Miller, Chairperson, Stonington, Laurie G. Cain, Esq., Simsbury, David A. Dee, Esq., Avon, Wendella A. Battey, Esq., Westbrook, Paul D. Abercrombie, North Haven, Richard M. McCostis, Esq., Westport, and David C. Anderson, Esq., of West Hartford

Department of Environmental Protection

At a Glance

ARTHUR J. ROCQUE, Jr., *Commissioner*
Established - 1971

Statutory authority - CGS Public
Act 872, 1971

Central office - 79 Elm Street,
Hartford, CT 06106

Average number of full-time
employees - 1,100

Recurring operating
expenses - \$104,662,000

Capital equipment outlay - \$997,500

Organizational structure - Office of Commissioner; Office of Adjudications; Office of Affirmative Action; Office of Communications and Education; Office of Environmental Review; Office of Long Island Sound Programs; Office of the Ombudsman; Compliance Assistance Program; Office of Urban and Community Ecology and Environmental Equity; Bureau of Financial and Support Services; Agency Support Services; Human Resources; Financial Management and Information Technology. Office of the Deputy Commissioner of Air, Waste, and Water Programs: Office of Legal Council; Bureau of Air Management: Divisions of Engineering and Enforcement, Planning and Standards and Radiation. Bureau of Waste Management: Divisions of Planning and Standards; Engineering and Enforcement; Oil and Chemical Spills; and Pesticides, PCBs, Underground Storage Tanks and Terminals. Bureau of Water Management: Divisions of Planning and Standards; Permitting, Enforcement and Remediation; and Inland Water Resources. Office of Deputy Commissioner for Environmental Conservation: Indian Affairs; Natural Resource Center; Bureau of Natural Resources: Divisions of Fisheries, Forestry, Wildlife. Bureau of Outdoor Recreation: Divisions of State Parks, Boating, Land Acquisition and Management, and Conservation Law Enforcement.

Mission

It is the mission of the Department of Environmental Protection (DEP) to conserve, improve, and protect the natural resources and environment of the State of Connecticut; to control air, land, and water pollution in order to protect the health, safety, and welfare of the people of Connecticut; and to preserve and enhance the quality of life for present and future generations.



Statutory Responsibility

Conn. Gen. Statutes Title 22a; Secs. 23-4 through 23-66 and 23-80; 24-4; 25-32d; 25-68b-68h; 25-69-98; 25-102; 25-138 through -i42; 25-IS4 through 156; 26-3 through 26-31S; 47-59a through 4766j; and others.

Public Service

Division of Environmental Assistance and Outreach (DEAO):

During FY99 the Connecticut DEP emphasized the importance of public outreach to and participation by all constituencies. A Division of Environmental Assistance and Outreach (DEAO) was established within the Office of the Commissioner to foster communication, outreach, and assistance activities to all of DEP's constituencies. Emphasis was placed on the need to address municipal concerns, environmental equity of minorities, and other groups with historically under represented interests. Concerns of small businesses, the regulated community, not for profit environmental interest groups, and the general public were also addressed.

DEAO was created to improve, through unification, DEP's outreach and assistance efforts and coordinate implementation of those efforts among formerly separate and disparate functions. The Division will provide a central point of access to and from the Department for each of the separate constituencies. The DEAO is comprised of the Office of the Ombudsman, the Compliance Assistance Program, Office of Urban and Community Ecology, Office of Affirmative Action, Office of Environmental Review, and Office of Communication and Education.

Outreach: The DEP continued to enhance and expand its website as part of its public outreach program, registering over 100,000 hits from users, a 400% increase. The most frequent activity on the website was downloading permits, state parks and forests information, employment opportunities, camping, licenses, registrations, laws and regulations, and recreation and natural resources. The website also contains current information on air and water quality in the state and status on the Eastern Equine Encephalitis (EEE) virus in mosquitoes. The DEP also provides public information on fish consumption advisories as well as enforcement actions and permit application procedures.

Land Acquisition: The State of Connecticut experienced a landmark year for open space acquisitions acquiring more than 7,800 acres, making FY99 the state's best years for land purchases. Through the DEP's open space program, the State of Connecticut acquired more than 3,600 acres while assisting municipalities, nonprofit land conservation organizations, and water companies with the acquisition of another 4,200 acres.

Parks: State parks and forests continued to see improvements and renovations to their facilities in FY99. Under Connecticut's 2010 Plan to upgrade state parks and forests, ground was broken in June on a \$812,000 site improvement project at Indian Well State Park on the Housatonic River in Shelton. The park will reopen in May 2000 with a new boat launch, beach extension, landscaping, sewage systems, roads, and parking areas. Also in June, two new handicapped accessible beach bathhouses and first-aid lifeguard offices were opened at Sherwood Island State Park in Westport. Work continued on major renovations to Gillette Castle State Park in Haddam. Silver Sands State Park in Milford completed Phase I of its development to become the state's fourth major shoreline park. Heublein Tower at Talcott Mountain State Park in Simsbury received a \$500,000 facelift including a new coat of paint, lights, windows and a new cupola, which restored the historic accuracy to the tower.

Long Island Sound: As part of Connecticut's continuing effort to improve the quality of Long Island Sound, the DEP is moving ahead with the development of strategies to reduce nitrogen entering the Sound by 58.5% over the next 15 years. Toward the goal of improving the health of the Sound, significant progress has been made on the \$170 million reconstruction of the Waterbury water pollution control facility. Once completed, it will provide advanced treatment and remove nitrogen at high levels. In July, ground was broken on a \$38 million advanced wastewater treatment plant in Fairfield. In addition to these two major Long Island Sound improvement projects, work continued on advanced treatment plants in New Canaan and Norwalk with the plants expected to be operational in 2000. Complementing these efforts, the DEP has developed a Connecticut Coastal Access Guide that includes information on 262 sites along Connecticut's coast.

Urban Agenda: The DEP has been involved in the planning process of numerous urban revitalization projects around the state. The DEP has worked with the City of New London and the

New London Development Corporation on the redevelopment of the waterfront in New London. The present plan includes the redevelopment of the Fort Trumbull peninsula, a new state park, and enhancement of the downtown waterfront. The DEP has also worked with private and municipal interests in the City of Bridgeport in planning for the redevelopment of the Steel Point and Carpenter Technology sites. In Hartford, DEP has participated in planning meetings with local government and community leaders on redevelopment plans for downtown and waterfront proposals.

Office of the Commissioner

Office of Adjudications:

The Office of Adjudications conducts public hearings involving permit applications and appeals of department enforcement orders and issues formal written decisions in each case. The office also hears appeals of decisions issued by the Connecticut Underground Storage Tank Petroleum Clean-up Account Review Board and, for the first time in FY99, hears challenges to liens placed by the Department on real estate to recover its costs to remediate contamination. After a public hearing is complete, the office issues either a proposed or final decision depending on the nature of the case.

Operating with a reduced staff, the office handled over 50 cases in FY99 including a large number of complex multi-party and multi-permit cases. As a result of utility deregulation, the office also held hearings on two permit applications from companies seeking to operate new or remodeled power plants in the state and more such cases are anticipated next year. The office continues to review and revise its hearing procedures to facilitate a just and expeditious resolution of all matters pending before it.

Office of Affirmative Action:

The Office of Affirmative Action advances the principles and practices of equal opportunity in employment, services and contract administration; ensures compliance with civil rights laws and regulations. Outreach and education on the types of careers available within DEP specifically, and the State of Connecticut generally is seen as a priority program within the office. To that end, the Office of Affirmative Action has undertaken a major outreach effort participating in The Department of Labor, Connecticut Works Programs; Women in the Trades and Non-Traditional Roles Conference; YWCA Job Fairs and various high schools, colleges and correctional facilities. Affirmative Action supports every division of the Department of Environmental Protection with regard to recruitment hiring, retention and promotion of staff and business opportunities for minority and women owned business'. During the year special relationships have been developed with the Capital Region Black Chamber of Commerce, The Department of Transportation and the Department of Public Works to enhance DEP's outreach efforts.

Office of Communications and Education:

The Office of Communications and Environmental Education's mission is to coordinate agency efforts to inform the public about DEP programs and environmental issues and policies facing the state. The Office works with the public, educators, schools, and media using both direct contacts, electronic, and print methods. To improve environmental decision-making, the environmental education section offers programs for a variety of audiences, including educators, municipal officials, students, the general public, and special audiences.

Public Service: During FY99 the Office of Communications created and distributed approximately the same number of press releases as the previous year (500) and organized approximately 90 news conferences, an increase of 13% from last year. The Office also coordinated 5 editorial board meetings with state newspapers. The Office of Communications maintained a 24-hour information line on beach water quality, air quality, and mosquito program testing and provided the same information on the DEP website. The Communications Office also maintained a 7-days-a-week, 24-hours-a-day Communications staff on call system.

Improvements/Achievements 1998-99: The Office of Communications and Education continues to expand all of the educational programs offered through its three environmental training centers, Goodwin Conservation Center, Kellogg Environmental Center, and Bethany Technical Training Center. All three centers offer a series of workshops for families, students, teachers, and the general public. Programs offered to teachers focus on curriculum development and field research methods and provide teachers with instruction and equipment to help bring environmental education alive in the classroom. Programs offered through Kellogg Environmental Center include Projects Learning Tree, WILD, and WET. This year the office sponsored the

International Project WILD Coordinator's Conference with over 100 participants from throughout the United States, Mexico, and Canada. The Osborne Homestead Museum located at Kellogg experienced a significant increase in visitation this year. The increase can be partly attributed to the newly paved walkways through the gardens at the Museum and also the dedication of a new butterfly garden. Goodwin Conservation Center coordinated the Summer Search Program that allowed 61 middle and high school students to attend a five-day residential research program. The students involved contributed significantly to research on malformed frogs and wood turtles, a Connecticut listed species of special concern. Approximately 50 high school students were also involved in the design and construction of a new information gazebo and campground shelter at Goodwin. Staff from the Bethany Technical Training Center participated in the Summer Search Program and also offered programs on field techniques for teachers, Long Island Sound studies, community environmental education, and water quality issues. Altogether, nearly 200 programs and workshops were conducted by the three centers with nearly 9,000 persons participating.

Office of Environmental Review: Office staff reviewed 127 projects during the past 12 months to ensure consistency with agency programs, policies and resource management objectives. Staff continue to represent the agency on the Connecticut Siting Council, Connecticut Public Transportation Commission, Connecticut Energy Advisory Board, Connecticut Rural Development Council, Consumer Education Advisory Council, and several advisory committees initiated by the Department of Transportation to study transportation improvements for specific corridors around the state.

Office of Long Island Sound Programs: The mission of the Office of Long Island Sound Programs (OLISP) is to protect, manage, and restore coastal resources, and ensure their availability and accessibility to the public, to foster water-dependent uses of the shoreline and to oversee the state's public trust responsibilities for tidelands.

OLISP administers and coordinates programs within the Agency that have an impact on Long Island Sound (LIS) and related coastal lands and waters. The Office undertakes long-range planning for LIS and is directly responsible for the implementation, oversight, and enforcement of the state's coastal management and coastal permit authorities and provides technical and financial assistance to state and local government agencies.

The program assumes DEP's responsibility for implementation of the state Harbor Management Act, and the Coves and Embayments statutes, including administration of a portion of the coastal wetland restoration grant funds available under the LIS Clean-Up Account of the Connecticut Clean Water Fund. The program further administers grant programs for LIS Research funded through the LIS Clean-up Account of the Connecticut Clean Water Fund and projects benefiting Long Island Sound through proceeds from the Long Island Sound License Plate Program (Long Island Sound Fund).

OLISP assists municipalities implementing the Connecticut Coastal Management Act by evaluating coastal site plan review applications and making specific recommendations for the protection of coastal resources and the preservation and enhancement of water-dependent uses.

Field inspection services are provided for coastal site plan reviews requiring specialized technical expertise and/or to resolve complex issues and long-range planning assistance to municipalities implementing and updating municipal coastal programs, preparing and amending harbor management plans, and conducting special coastal management studies and projects.

Public Service

In FY99, the Office processed 125 permit applications, 40 general permits, and 155 certificate of permission applications.

In cooperation with the Long Island Sound Councils and Assembly and coastal municipalities, OLISP has produced and distributed the *Connecticut Coastal Access Guide*, which identifies 262 sites along Connecticut's coast that the public can access for a variety of recreational uses including beaches, boat launches, fishing piers, wildlife observation platforms, and scenic boardwalks. The Guide represents the first single-source comprehensive guide to coastal public access sites.

In a collaboration with the Bureau of Water Management, OLISP produced and distributed a Coastal Programs Newsletter entitled, *Sound Outlook* which contains general information on watershed management and Long Island Sound activities.

OLISP has maintained on-going oversight of Amtrak's electrification of the Northeast Cor-

ridor from New Haven to Stonington, which involved the review of both present and future electrification-related repairs.

OLISP and Connecticut College Center for Conservation Biology and Environmental Studies cosponsored the annual Long Island Sound Research (LIS) Fund Symposium entitled, "Restoration of Salt Marshes: Science and Management." The LIS Research Fund has supported over 35 research projects in the last 9 years. Approximately 150 individuals attended the symposium at Connecticut College in January, which involved the presentations of several papers and research reports on various areas of tidal wetland research and restoration projects.

To date, over 91,000 Long Island Sound license plates have been sold and over \$2.6 million has been allocated to fund grants for over 161 projects supporting the preservation and restoration of LIS through education and public outreach; public access; habitat restoration and research. During FY 99 \$311,509 in grants was awarded to fund 21 projects. Some of the proposals receiving funding this year include: a new water taxi to increased public access opportunities at Pleasure Beach in the City of Bridgeport, an environmental learning lab at the Holly-Sanford House at Cove Island Park in Stamford, construction of a fishway at the Chalker Mill Pond dam in Old Saybrook, and a study of the critical migratory shorebird habitats along Connecticut's coast.

Office of the Ombudsman:

The Office provides a central source of information for business, municipalities and the public regarding air, waste and water environmental requirements, as well as serving as the focal point for promoting customer service throughout the department. The Ombudsman's Office:

- Responded to over 4,700 customer inquiries, developed programs to provide training and outreach to business and industry, with more than 2,300 people attending.
- Started Green Circle Award program to recognize businesses, institutions, civic organizations, and individuals that have undertaken pollution prevention or waste reduction activities.
- Coordinating preapplication meetings, major multimedia projects, and directing permit process standardization, improvement, and innovation.
- Processed over 4,400 permit applications.
- Updated the Department's highly successful "User's Guide to Environmental Permits" and made it available on DEP's website.

Office of Urban and Community Ecology:

The DEP, which is committed to enhancing the quality of life for all state residents has a policy which states that "no segment of the population should, because of its racial or economic makeup, bear a disproportionate share of the risks and consequences of environmental pollution or be denied equal access to environmental benefits, such as access to the state's natural resources."

To build a relationship between state and local government and communities the department and the Governor's Office of Urban Affairs created Environmental Justice Community Advisory Boards. The New Haven board continues to meet monthly to discuss issues such as air pollution, illegal dumping, grant opportunities, community gardens, and economic development.

The program also:

- Organized and sponsored with assistance from Bridgeport, New Haven, and Hartford Health Departments the first African American and Latino Asthma Conference. The conference provided medical and environmental educational workshops to assist asthmatics in managing their asthma with 100 asthmatics attending.
- Has cleaned over 700 illegal dumpsites.
- Organized the third annual West Rock Ridge State Park Day to provide a family day for over 1,000 urban resident families.
- Co-sponsored with the Yale Peabody Museum of Natural History the third annual Martin Luther King Jr., Environmental Justice Festival. Over 2,400 people of all ages attended this free indoor event designed to reach out, educate, and entertain.
- Responded to approximately 100 Environmental Justice complaints from citizens living in the cities of Hartford, New Haven, Bridgeport, and Waterbury. Issues addressed include illegal dumping, air pollution, improper waste management, illegal autobody

shops, and rodent infestations.

Bureau of Financial and Support Services

The mission of the Bureau of Financial and Support Services is to develop, enhance, manage, and maintain the agency's administrative and support services, and infrastructure.

Public Service

The Bureau of Financial and Support Services is responsible for distribution and sales of sportsmen's and various other licenses and permits; a 24-hour dispatch center that handles communications and emergency calls related to DEP Law Enforcement, Oil and Chemical Spills, Radiation Control, Parks, Forestry, and relevant matters. This bureau is also working in conjunction with the Office of Policy & Management on a pilot project to develop and establish customer service centers throughout the state to deliver a variety of products and services such as licenses, permits, registration, etc. from multiple agencies at one location.

Improvements/Achievements 1998-99

Completed the renovation of four boating access areas; constructed 1,300 feet of new forest road for forest management, relocated and constructed a new entrance road into a parking lot for public access to the Connecticut River, and renovated the toilet building at Hopeville Pond State Park. The Purchasing Unit processed 5,490 purchase requests submitted by Agency Staff and implemented an agency credit card system to facilitate purchasing. Americans with Disabilities Act (ADA) design work has been completed to retrofit buildings at 22 agency facilities in the western part of the state. A Hazardous Waste Management Program was also established for DEP facilities. The Health and Safety unit conducted over 75 DEP facility safety inspections.

Agency Support Services Division:

Consists of purchasing, inventory & warehousing, project administration, engineering, dam maintenance, wetland restoration, district offices, vehicle and equipment repair garages, equipment management, dispatch office, and agency fleet operations. Responsibilities include restoring degraded wetlands; maintenance of 30 flood control and 121 recreational dams; maintenance, repair, renovation and new construction of boating access areas; and the agency ADA retrofit program.

The **Human Resources Division** provides personnel, labor relations, and staff development services for 1,100 permanent and 800 seasonal employees.

The **Financial Management and Information Technology Division's** responsibilities include budget, grants, accounts payable, accounts receivable, sportsmen's licensing, information technology planning and support, management analysis, management of agency cost centers, and review of fiscal impact of all proposed legislation and regulations.

Office of the Deputy Commissioner for Air, Waste and Water Programs

Office of Enforcement Policy and Coordination:

Newly created in January 1999, this office is responsible for overseeing enforcement practices to assure consistency in implementation of policies and promoting multimedia enforcement. This office also serves as a liaison to the USEPA for matters relating to enforcement. Other areas of responsibility include improvement of the overall enforcement process and enforcement file management practices.

Accomplishments include:

- Coordination of the annual report on environmental compliance in Connecticut to the General Assembly Committee on the Environment.
- Preparation of responses to the Legislative Program Review and Investigative Committee report and the USEPA multimedia enforcement review.
- Completion of the Enforcement Response Policy and associated enforcement forms: Enforcement Action Summary and Consent Order Data Sheet.
- Training of over 200 enforcement staff on the use of the Enforcement Response Policy and associated enforcement forms.
- Making enforcement policies and forms available on the Department's Intranet site

Bureau of Air Management**Mission Statement:**

To protect human health, safety and the environment and enhance the quality of life for the citizens of Connecticut by managing air quality, radioactive materials and radiation.

Public Service

The bureau continues to enhance the quantity and quality of information available to the public on the department's website including fact sheets; program summaries; educational event and advisory committee meeting dates; permit application forms and instructions; and daily, animated ozone forecast map. The State Implementation Plan Revision Advisory Committee (SIPRAC) provides a monthly forum for a variety of groups to communicate directly with the bureau on air quality issues. The Small Business Compliance Advisory Panel hosts quarterly meetings for Connecticut's small business community, members of the public and the department.

Improvements/Achievements 1998-99

The Planning and Standards Division provides technical support on a bureau-wide basis; provides leadership in preparation of revisions to the State Implementation Plan (SIP) for achieving federal air quality goals; performs modeling analyses; develops and implements transportation strategies; develops, controls, and policies designed to protect and improve environmental quality and protect public health; and plans activities to control sources of air pollution. During FY99, the division:

- Expanded into Phase-2 of the three phase nitrogen oxide (NOx) emissions trading program, which implements a NOx emissions allowance trading program thereby ensuring that a fixed budget of 5,866 tons of NOx emissions is not exceeded during the ozone season. Phase-3 continues to be developed and will further reduce the Phase-2 budget to 4,477 tons in 2003;
- Requested and received from EPA formal redesignation of two carbon monoxide (CO) "nonattainment" areas to "attainment" in FY99. All areas of Connecticut are now considered "in attainment" with respect to the CO national ambient air quality standard (NAAQS);
- Submitted to EPA an ozone attainment plan, demonstrating that planned local and regional ozone precursor control programs will result in attainment of the 1-hour NAAQS by 2007;
- Continued to implement programs under the ozone and fine particulate matter (PM) NAAQS adopted by EPA in July 1997. Daily ozone levels are now reported for the 8-hour ozone NAAQS and a monitoring network has been established for measuring fine particulate matter (PM, or PM less than 2.5 microns in diameter);
- Submitted testimony to the U.S. Senate Committee on Public Works and the Environment, Clean Air, Wetlands, Private Property, and Nuclear Safety Subcommittee, actively supporting EPA's efforts to reduce interstate transport of air pollution;
- Developed new standards for reducing pollutants, including NOx and mercury, from municipal waste combustors;
- Continued to participate with the Department of Motor Vehicles (DMV) and other northeastern states in the development of a memorandum of understanding and resolution to establish uniform roadside diesel testing programs throughout the Northeast;
- Continued working with DMV to implement a vehicle Inspection and Maintenance program SIP that meets EPA requirements;
- Opted into the National Low Emission Vehicle (NLEV) Program, an opportunity to implement regional cost effective air pollution control methods;
- Spearheaded a regional program to target reductions of toxic air pollutants;
- Initiated a three year research and monitoring effort to characterize levels of toxic air pollutants at six locations throughout the state; and
- Developed a fact sheet on Connecticut's management of toxic air pollutants.

The Engineering and Technical Services Division is responsible for permitting activities within the Bureau of Air Management. The division performs engineering evaluations, issues permits for the New Source Review and Title V programs, researches pollution prevention al-

ternatives and disseminates pollution prevention information.

With the deregulation of the electric utility industry, over 3,000 MW of new generating capacity has been proposed for construction in Connecticut. The division has received applications from several merchant power plants and has issued permits to projects in Bridgeport, Milford, and Killingly.

During FY99, the division:

- Issued 325 New Source Review permits;
- Processed 541 registrations under the General Permit for New Source Review;
- Processed 54 registrations under the General Permit Limiting Potential to Emit;
- Issued 1 Title IV (acid rain) permit; and
- Issued 2 Title V permits.

The Compliance and Field Operations Division includes administrative and field enforcement. The administrative enforcement section enforces Connecticut's statutes and regulations for sources of air pollution, issues notices of violations and state orders to noncomplying sources, negotiates consent orders to bring sources into compliance, refers cases to the Office of the Attorney General when necessary, and assists in the bureau's efforts to promote pollution prevention and compliance assurance.

During FY99, the administrative enforcement section:

- Issued 378 notices of violation (NOVs);
- Resolved 283 NOVs;
- Pursued thirty-two formal actions; and
- Closed twenty-four formal actions.
- The field enforcement section makes periodic inspections of industrial facilities, investigates complaints, and reviews the results of source-conducted tests to determine compliance with the SIP, permit conditions, regulations, and statutes. During FY99, the field enforcement section:
 - Responded to 555 complaints regarding air pollution events;
 - Conducted 685 detailed compliance inspections;
 - Conducted 98 open burning inspections;
 - Conducted 27 multi-media inspections at major sources to ensure cross-media compliance;
 - Conducted 4580 Stage II gasoline station inspections;
 - Witnessed 83 relative accuracy test audits on continuous emissions monitoring (CEM) systems; witnessed 19 cylinder gas audits; reviewed and commented to facility owners/operators on 128 quality assurance tests;
 - Performed seven dioxin and multiple metals testing at resource recovery facilities; and
 - Conducted 75 reviews for emission test audits.

The Radiation Division has regulatory oversight of users of radioactive materials, x-ray machines and other radiation producing devices including the state's four nuclear power plants and responds to reports of accidents and incidents involving radioactive material. In FY99 the Radiation Division:

- Analyzed the radiological decommissioning standards of the U.S. Nuclear Regulatory Commission and the EPA in preparation for developing state specific standards;
- Performed regulatory oversight and co-sampling of several projects, including activities at Knolls Atomic Power Laboratory and at ABB/Combustion Engineering in Windsor, Stratford Army Engine Plant in Stratford and Connecticut Yankee in Haddam Neck;
- Discussed with EPA remediation criteria for the cleanup of clock factories in Connecticut that formerly used radium for dial face painting;
- Provided assistance and planning to low-level radioactive waste generators and others in disposing of and managing radioactive sources;
- Monitored effluent releases of radioactive material to determine any threat to the

- public health and safety of the residents of Connecticut;
- Responded to 67 LLRW emergencies that had potential to harm the public or the environment;
- Answered 85 emergency notifications from nuclear power plants in the state;
- Conducted inspections of 176 mammography facilities;
- Conducted inspections of 133 medical x-ray tubes;
- Conducted co-inspections with the Department of Health of four hospitals for medical licensure;
- Conducted inspections of 11 facilities for the management of low-level radioactive waste;
- Conducted four decommissioning inspections;
- Performed radiological surveying of factory space at nine sites; and
- Overhauled electronic information and communication capabilities by redesigning the division's database, streamlining the yearly registration process, and implementing an electronic annual low-level radioactive waste report.

Reducing Waste

The bureau continued to progress in the redesign of the information management system to improve case management and the ability to share information with governmental agencies, businesses, and citizens.

Bureau of Waste Management

Mission Statement:

To protect human health and safety and the environment by minimizing adverse effects from the treatment, storage, disposal and transportation of solid and hazardous wastes, hazardous substances and pesticides.

Public Service

The full membership of the Waste Management Bureau Advisory Committee met two times in the past fiscal year, and outreach continued to be its major focus. The following presentations were made in 1998: DEP Web Site, Legislative Status, New England Governors/Eastern Canadian Premiers Mercury Action Plan Status Report, and "Introduction to National Environmental Justice Advisory Council."

Subcommittees continue to provide recommendations to the Department on regulatory matters such as consolidation of the regulated and special waste programs and the Connecticut State Solid Waste Management Plan. Subcommittees issued two final reports: *Notification of Pesticide Applications in Schools*; and *Guidance for the Beneficial Use of Solid Waste*, developed Special Waste Plans for resource recovery facilities, reviewed the Used Oil Guidance Document, and promoted integrated pest management in Connecticut, including a public outreach campaign and school demonstration projects. A new subcommittee was formed to deal with the management of hazardous waste that can be classified as Universal Waste.

The Consolidation of 22a-454 Wastes and Special Waste Programs Subcommittee continued efforts regarding both Special Waste Plans and Used Oil guidance. The subcommittee assisted the Department in reviewing plans created by resource recovery facilities that streamline the special waste authorization process. In addition, the subcommittee reviewed a draft Used Oil Guidance Document and additional fact sheets which will accompany the new Federal used oil regulations under 40 CFR 279.

The Integrated Pest Management (IPM) Subcommittee of the Waste Bureau Advisory Committee submitted a report to the Commissioner concerning notification of pesticide application in schools. Public Act 98-229 directed the Commissioner to study the feasibility of such notice. Several recommendations of the subcommittee were subsequently incorporated into Public Act 99-165, which required notification to parents of school pesticide usage. Two model IPM programs were completed at schools in Middletown and South Windsor, achieving a very significant reduction in the amount of pesticides used. In the case of the Middletown school, the reduction in quantity was in excess of 98%.

The new Universal Waste Rule (UWR) Subcommittee was convened to discuss and advise on the proper management of certain hazardous wastes, establish a program for universal wastes in Connecticut, and assist in the implementation of such a program in an effort to facilitate recycling. Universal Wastes are a subset of hazardous waste and are subject to the Federal requirements of 40 CFR 273.

The Waste Engineering and Enforcement Division provides a hazardous waste compliance assistance program called COMPASS which assists all of Connecticut's businesses and industries to comply with hazardous waste management regulations by developing and implementing outreach programs and disseminating information. Staff in the Division answered over 2100 calls directed to the COMPASS program. The Division continued other business and industry outreach efforts, including developing technical guidance such as the Used Oil Guidance Document, Aerosol Can Policy Fact Sheet and the Municipal Public Works Garage Guidance Document and sponsoring and participating in educational conferences including four informational sessions on upcoming regulations pertaining to used oil under 40 CFR 279.

The Waste Engineering and Enforcement Division continued to implement a compliance assistance initiative for public high schools. The initiative covered sixteen audits with high schools, which included four audits with a multi-media component. Staff from the Division toured the school laboratories and disseminated pertinent information to school representatives.

The Division also began a compliance assistance initiative with the State facilities in Connecticut including staff representatives and managers and directors from parks, forestry, wildlife, fisheries (including marine), support services, conservation (law enforcement), education and the safety office. Division staff trained facility personnel regarding proper hazardous waste management practices and helped to begin implementation of hazardous waste management programs at the facilities.

To complete the compliance assistance initiative with the public works garages in the State, the Division compiled a Municipal Public Works Guidance Document that was mailed to all 169 municipalities in July 1999.

The Emergency Spill Response Division's outreach efforts targeted industries, fire services, and contractors that had hazardous materials incidents. Presentations and hazardous materials (HAZMAT) drills were offered to county fire chiefs' associations, civic and municipal groups, fire departments, colleges, schools, training classes.

The Bureau provides administrative support to the State Emergency Response Commission, which receives, processes, and manages chemical information reports and administers emergency response-related federal grants. A total of 2,200 Tier II chemical Inventory forms and 1000 Toxic Release Inventory forms are received each year. As a result, 576 facilities reported electronically by diskette in 1999. Also, during the year a total of \$119,000 in federal grant assistance was allocated to Local Emergency Planning Committees for emergency response planning and to the Connecticut Commission on Fire Prevention and Control for the training of emergency response personnel.

The Waste Management Bureau's Pesticide Management program field staff has continued to focus their efforts on farm worker protection in the tobacco growing industry. Additionally, staff have worked with the Connecticut Agricultural Experiment Station to assure that appropriate fungicides are registered for use on tobacco to control blue mold, a plant disease of tobacco which has made a comeback in the past few years.

Information regarding PCB issues, such as PCBs in submersible well pumps has been made available through the Department of Environmental Protection's official website.

The Pollution Prevention Office of the Waste Planning and Standards Division continued to work with seven neighborhoods in Hartford to provide environmental education for Hartford residents with an Earth Day Conference, a tour of Hartford neighborhoods for city and corporate leaders which highlighted environmental protection opportunities, a workshop on underground storage tank regulations for the automotive sector, multimedia inspections of schools, large residential complexes, dry cleaners, printers and autobody shops, and a model brownfields remediation project on the site of a former paint store. Approximately 250 Hartford residents and 45 Hartford leaders participated in these programs. In addition, the following institutions in Hartford are also receiving pollution prevention assistance on preventing pollution: Trinity College, Hartford Hospital, Children's Medical Center, and the Institute for Living. The Department partnered with the Connecticut Hospital Association to sponsor a two-day Environmental Management System training workshop held in February and April 1999. Approximately 30 hospitals and colleges registered for the training, which was supported by a US EPA grant.

The Waste Planning and Standards Division's Source Reduction and Recycling Program has an active outreach program for all sectors of the public, especially schools. The Department's

performer, "Ray Cycle", presented over 244 recycling shows at schools, camps, and fairs throughout the State. Our recycling educator gave approximately 100 talks at schools, senior centers, and day care centers. The Recycling Program sponsors a poster contest for 4th, 5th, and 6th grade students. Twelve winning posters are chosen statewide, which are then used to produce a colorful calendar.

Improvements/Achievements 1998-99

The Pesticide Program continues to make significant strides in promoting and supporting Integrated Pest Management. In addition to the school projects described earlier, the Program has developed model plans for two categories of pest control (general indoor pest and rodents) and has mailed these plans to all municipalities. The State Department of Administrative Services pest control contract has been revised to require and support the use of IPM in State facilities. To encourage the general public to ask for IPM, a major public relations and advertising campaign has been initiated using funds provided by pesticide registration fees as mandated by Public Act 97-242.

The Emergency Spill Response Program documented approximately 8800 telephone reports relating to spill/release incidents. Emergency response personnel provided on-site mitigation and cleanup oversight on 2200 incidents. An estimated additional 3000 reported incidents were responded to with technical assistance and referrals to other divisions or agencies. All reported releases were entered into the Division's Spill Incident DataBase. In compliance with PA 98-140, over 13,000 spill reports were faxed to municipal CEO's and Directors of Health.

Among the year's notable mitigation actions were major removals and cleanups at the Nutmeg Steel and MIF facilities in Branford, the Capolla site in East Haven/New Haven, the Davco Building in New Milford (a former Scovill property) and oil spills to the Oxoboxo River in Montville and Naugatuck River in Torrington.

The Bureau's Long Island Sound Oil Spill Preparedness Program successfully participated with the U.S. Coast Guard, U.S. EPA and adjoining states (New York, Rhode Island) in a large-scale Pollution Response Exercise Plan (PREP) in September 1998. The PREP drill, simulating a multi-agency response to a major Long Island Sound oil spill from two colliding vessels in the New Haven coastal area, allowed the activation of the Unified Command System including scenarios on the use of chemical dispersants and advanced skimming systems.

For FY 99 the Underground Storage Tank (UST) Petroleum Clean-up Account awarded \$19,315,559 to owners and operators of UST facilities for clean up of contaminated sites, and settlements of third party damage claims. The program also hired additional staff to address the backlog of pending applications, established a consent agenda for Review Board actions, and initiated review and referral procedures to detect possible fraud and abuse in obtaining payment or reimbursement through the Clean-up Account.

The Leaking Underground Storage Tank Program performed detailed site assessments at 99 sites. A new mobile laboratory has expanded analytical capabilities, including the ability to test for toxic metals and finger print petroleum products.

The Underground Storage Tank (UST) Enforcement Program continues to enforce closure of antiquated nonresidential petroleum and CERCLA chemical USTs in the State. Since the December 22, 1998 Federal deadline for the upgrade, closure or removal of substandard USTs, staff from the UST Enforcement Program have completed 211 facility inspections.

During FY 99, more than 12 cleanups of sites contaminated with polychlorinated biphenyls (PCB's) were overseen. In addition, the PCB Program responded to 427 complaints from citizens, the regulated community, and other regulatory agencies.

In the Waste Engineering and Enforcement Division, 374 complaints were received, and staff performed a total of 898 inspections (494 inspections, 134 follow-up inspections and 270 complaints investigated) and issued 33 formal enforcement actions (20 consent and administrative orders and 13 Attorney General referrals) and 141 informal actions (119 notices of violation, 22 warning notices). Five companies participated in a total of eight approved supplemental environmental projects with an overall value of \$232,375.

Waste Engineering and Enforcement Division permitting programs made final decisions on 277 permit applications and related approvals including temporary authorizations, denials, transporter permits, Federal (RCRA) and State (22a-454) hazardous waste permits, solid waste permits and special waste authorizations. Twenty-three approvals were issued for various stages of site remediation work being performed at facilities where hazardous waste was historically

disposed on land.

The Bureau's Waste Planning and Standards Division was actively involved in implementing the Regional Mercury Action plan which was adopted in June 1998 by the New England governors and Eastern Canadian premiers. Legislation was introduced and Public Act 99-228 was adopted consistent with this effort. In January 1999, the Department co-sponsored a major regional conference on mercury held in Connecticut that was attended by over 150 participants.

The Pollution Prevention Office located in the Waste Planning and Standards Division received a Pollution Prevention Incentives for States grant to train field engineers associated with the Connecticut State Technology Extension Program (ConnSTEP) on multi-media pollution prevention technical assistance. ConnSTEP field engineers are providing pollution prevention on-site technical assistance to at least 20 Connecticut manufacturers.

The Waste Planning and Standards Division also provides outreach to manufacturers on improving energy efficiency through partnership in EPA's Climate Wise program. Sixteen manufacturers in Connecticut are now enrolled in this voluntary program and have initiated over 100 energy efficiency and pollution prevention projects. Their actions have reduced CO₂ emissions (a major greenhouse gas) in the State, by over 42,000 metric tons. This is the equivalent of removing 119,000 cars from the road.

The Division worked to publicize the Climate Wise program and increase awareness of the importance of energy efficiency by developing a Steering Committee for the Connecticut Climate Wise Partnership. Two forums have been held at companies with approximately 50 attendees at each. In addition, the Department has co-sponsored workshops on combined Heat and Power, Compressed Air, and Steam. Presentations on the Climate Wise program were also made to CBIA's Environment Committee.

Based on reports to the Department, the State recycling/source reduction rate for fiscal year 1996-97 is now 25%. Twenty-four percent reflects tonnage of recyclables collected, which translates into 440 lbs. of material recycled for each resident of Connecticut. The remaining 1% reflects a source reduction credit given to those municipalities that have active grass recycling or home composting programs.

Our state participated in the second annual America Recycles Day held on November 15, 1998. Schools, municipalities, nature centers, businesses, and government agencies held dozens of recycling related events in celebration of this national recycling awareness day.

The Source Reduction and Recycling Program awarded regions and municipalities nine grants totaling nearly \$1.7 million for projects that represented new initiatives directed at increasing municipal source reduction and recycling in Connecticut.

Following approvals by the State Bond Commission in 1998, the Waste Planning and Standards Division awarded \$10.66 million in grants to four municipalities for the proper closure of their solid waste landfills.

In response to the grass clipping disposal ban (CGS Section 22a-208v) which went into effect October 1, 1998, the Waste Planning and Standards Division has developed a new General Permit for the Addition of Grass Clippings at Registered Leaf Composting Facilities.

The Source Reduction and Recycling Program continues to pursue new initiatives to reduce waste disposal and increase recycling rates in the State and in the region. Connecticut joined in a resolution between northeastern states and newspaper publishers to increase the use of recycled fiber in newsprint over the next three years. Revisions have been drafted for the general permit for recycling transfer stations to facilitate the collection and recycling of mercury containing lamps, batteries, and consumer electronics including computers, monitors, and televisions.

Reducing Waste

The Waste Engineering and Enforcement Division continued its efforts to streamline the permitting process. The quality of permit applications was further improved through pre-application meetings and distribution of permit applications, instructions, and guidance materials. Operation of a centralized, toll-free technical assistance phone line continued to assist Connecticut businesses and cut duplication of staff efforts.

The Division has approved the special waste plans for four Resource Recovery Facilities (RRFs) in the State. In the past fiscal year, these RRFs have begun implementation of the plans. The ultimate goal of these plans is to decrease the number of special waste authorizations that are submitted to the State for approval and allow for more efficient utilization of these facilities.

The Waste Planning and Standards Division further extended electronic reporting for the

Biennial Reporting System hazardous waste reports this year, simplifying the reporting process for hazardous waste generators.

Bureau of Water Management

Mission Statement:

The mission of the Bureau of Water Management is to maintain and protect Connecticut's existing high quality water and water-related resources, to mitigate damage from flooding or dam failures, and to protect and improve the quality of surface and ground waters so that they will meet water quality standards while balancing the state's need for clean drinking water, recreational water uses, aquatic habitat, economic development, and waste disposal. This is achieved through the adoption and enforcement of water quality standards for surface and ground waters, dam safety programs, regulation of water withdrawals and wastewater discharges, mitigation of natural hazards, control of floodplain development, wetland protection, remediation of contaminated sites, and monitoring and assessment of water quality.

Public Service

The Bureau routinely investigates water resource conditions, including potential problems reported by the public. The Bureau maintains public files of all program records. The Bureau is committed to actions that support environmental equity, and consults with a Minority Business Enterprise/Women Business Enterprise (MBE/WBE) steering committee to achieve equitable disbursement of Bureau managed grants and loans. To improve communication and obtain feedback on new initiatives, the Bureau consults with its Advisory Committee formed with members representing Business & Industry, Water Utilities, Environmental Organizations, Municipalities, and other State Agencies. The Bureau trains municipal officials in the enforcement of wetland statutes and the National Flood Insurance Program. To introduce the new, more streamlined Remediation Programs to economic development community the Bureau held a one-day conference on Site Remediation in November. The Bureau also provides on-going training to Environmental Professionals in conjunction with the Environmental Professional Organization of Connecticut. Staff participated in workshops and conferences as speakers and panel members on permit compliance assistance.

Improvements/Achievements 1998-99

The Permitting, Enforcement, and Remediation Division regulates wastewater discharges including over 4,000 industries, public and private sewage treatment plants, stormwater discharges, large subsurface sewage disposal systems and wastewaters from other disposal activities. During FY99, the Division:

- Reissued the general permit for the discharges of Minor Non-Contact Cooling Water and issued one new general permit for the discharge of Swimming Pool Wastewater streamlining the permit process and reducing paperwork for both parties.
- Received 203 permit applications and issued 117 permits; received 726 general permit registrations and issued 617; conducted 763 inspections; issued 435 Notice of Violations; issued 26 orders and 11 Attorney General referrals; and investigated 369 complaints.
- Issued 85 Emergency and Temporary Authorizations for ground water remediation projects and other activities that need prompt attention.
- Assessed \$4,558,455 in administrative and judicial penalties including \$550,250 in supplemental environmental projects.
- Increased emphasis on enforcement activities including criminal enforcement.
- Began reorganization designed to emphasize watershed management, improve support activities and allow staff to focus more on core program responsibilities.
- Put the divisions upgraded permit and order compliance tracking system on line.

The Division's remediation staff investigates, evaluates, and oversees cleanup of contaminated sites. Remediation related work is managed through eight programs: Site Discovery, Federal Pre-remedial, State Superfund, Potable Water, Federal Superfund, Property Transfer, LEP and Urban Site Remediation. During FY99, the Division's remediation activities included:

- Discovered and evaluated 101 contaminated sites. Five targeted brownfield assessments were initiated at abandoned sites to assist municipalities to return properties to

productive use.

- Completed major remediation steps at numerous projects of statewide significance including: Linemaster Switch, Woodstock; Mitral, Harwinton; Town Hill Road, Plymouth; Army Engine Plant, Stratford; Charles W. House, Inc., Farmington; and, Angillillo, Southington.
- Remediation is ongoing at six major state-funded sites in the Urban Sites Remedial Action Program. Significant work is underway at the Calamari Scrapyard/Pfizer, Inc. site in New London and the Lulac/Head Start site in New Haven. Presently there are seventeen active private party projects. The remediated and redeveloped sites are creating jobs and increasing annual municipal tax revenues in our urban areas.
- Twelve requests for recording Environmental Land Use Restrictions controlling the effects of pollution were received, nine were approved and placed on land records.
- Successfully administered two Licensed Environmental Professional (LEP) exams bringing the total LEPs to 223.
- Received 148 new sites into the property transfer program and the 22a-133x voluntary remediation program. Of these sites 62 have been delegated to LEPs, 50 were retained by DEP and 36 are pending administrative review.
- Conducted 19 audits of LEP verifications submitted pursuant to either 22a-134a, 22-133x or 22a-133y of the Connecticut General Statutes.
- Implemented legislation on reporting significant Environmental Hazards.
- Conducted review of over 124 Significant Environmental Hazard Reports since the implementation of the program on October 1, 1998. Of the 124 reports reviewed, 70 have been notifications related to drinking water, 27 for surface water, 13 to volatile organic compounds (VOCs) and 10 for surface soils.
- Provided administrative and technical support to DECD under the SCPRIF loan program, which provides funds for pollution investigation and demolition activities to encourage redevelopment at brownfield sites. Approximately \$440,000 has been committed and another \$800,000 in funding is projected for FY00.
- Issued five covenant not-to-sues related to development projects.
- Provided drinking water to residents whose water supply wells were contaminated and provided grants to one municipality to ensure that residents received safe, permanent water supplies; 75 new contaminated wells were identified and bottled water was supplied to 180 people. 955 drinking water supplies were sampled.

Inland Water Resources Division:

The Division implements programs involving: flood management, dam safety, National Flood Insurance and Hazard Mitigation Programs, early flood warning, water-use permitting, enforcement, and wetlands management. During FY99, the Division:

- Completed 1 flood and dam repair construction project and 3 erosion repair projects in cooperation with municipalities.
- Participated in 3 designs and construction of flood and erosion control projects with the Natural Resource Conservation Service.
- Initiated 8 studies, completed 4 designs, and 6 construction projects for state owned dams.
- Conducted over 65 dam safety inspections of privately owned dams in conjunction with dam safety administrative efforts.
- Evaluated 47 proposed dam construction projects for Dam Safety and Diversion permit program requirements.
- Issued permits for the removal of two dams on the Naugatuck River in conjunction with the Naugatuck River Restoration efforts.
- Conducted a training session for local emergency management personnel involved with the North Park River Flood Control Project dams in Bloomfield.
- Conducted 10 ordinance reviews, 36 community assistance visits, 15 technical assistance contacts, 5 community assistance contacts, and 5 local official training workshops for National Flood Insurance Program procedures and regulations.
- Initiated 2 flood Mitigation Assistance projects that will result in the elevation of 7 homes that are currently susceptible to repeat flood damage.

- Initiated 2 new municipal hazard mitigation planning efforts with the communities of Montville and Stratford. Completed municipal hazard mitigation plans with Westport and Milford.
- Investigated 182 complaints resulting in the initiation of 24 new enforcement actions.
- Open violation files at the start and end of the fiscal year were 111 and 148, respectively and 26 violations files were closed during the fiscal year.
- The processing of complaints and violations resulted in 203 inspections, 61 in-house investigations, 9 warning letters, 27 notices of violation, 5 orders, 7 referrals to the Attorney General's Office and the award or assessment of \$129,000 in penalties.
- Notified municipal wetland agencies of necessary changes to their regulations due to 1998 statutory changes.
- Conducted the Municipal Inland Wetland Commissioners Training Program consisting of 12 workshops with a total of 323 participants representing 93 towns.
- Reviewed 34 municipal inland wetland projects that included ERT reports, technical assistance and coordination of citizen complaints with local officials.
- Published Inland Wetlands Status and Trends Report for 1994, 1995 and 1996.
- Published brochure describing CT Inland Wetlands Act.
- Permit applications: 297 received, 262 acted on, and 224 pending.
- Initiated establishment of Stormwater Management Work Group within DEP.
- Initiated a post-permit inspection program for Stream Channel Encroachment Line and Inland Wetland Permits to deal with permit compliance.
- Initiated development with CONNDOT of a Flood Management Certification for Minor Activities.
- Provided outreach training to Department of Education on Flood Management.
- Assisted DEP Parks and CONNDOT Maintenance Districts in developing Drainage Maintenance Plans, thereby reducing need for individual permits for routine maintenance activities performed consistent with Best Management Practices.
- Performed baseline inspections of the reestablished Norwalk River Stream Channel Encroachment Lines.
- Provided technical assistance in the design of a foot bridge over the North Branch Park River for the Annie Fisher School in Hartford to provide school access to a nature study area.
- Organized a field tour of control measures to keep drainage culverts free of beaver dams.
- Conducted project reviews under the US Army Corps of Engineers Programmatic General Permit including 108 screening applications received, 78 screening application processed with 35 pending. Additionally, under the USACOE Section 401 Water Quality Certification program, 30 individual applications were received, 10 processed and 26 pending.
- Completed inventory of registered water diversions pursuant to PA98-224.
- Initiated development of Diversion registration database and GIS digitizing of withdrawal locations.
- Initiated drafting of Diversion 2000 report to legislature pursuant to PA98-224.

The Planning and Standards Division manages the Water Quality Standards program, which establish goals for improvement, monitors and assesses the status and trends of the State's water resources; provides technical support for permit and enforcement actions; administers the Clean Water Fund which provides financing for municipal sewerage infrastructure improvements and river restoration projects; manages state and federal financed lake restoration projects, and provides water quality management planning, program development and support functions for the Bureau and several watershed organizations during FY99, the Division:

- Obligated \$16.4M in grants and \$66.4M in loans to 24 Clean Water Fund projects and assisted DPH in obligating \$4.4M to three Drinking Water State Revolving Fund Projects.
- Managed 110 active Clean Water Fund water pollution control projects.
- Revised the proposed Land Use Regulations for Aquifer Protection Areas with input from the Bureau's Advisory Committee and Legal Counsel.
- Continued review of Level A Aquifer Protection Area mapping, with 67 of 131 well

fields making substantial progress, 10 having received final approval.

- Worked jointly with the DPH and Advisory Committee to prepare a Work Plan for the new, federally-mandated Source Water Assessment Program, submitted to EPA in February, 1999 for review. The objective is to assess to susceptibility of all CT's public drinking water supplies (173 reservoirs and over 5,000 wells) to contamination.
- Completed revisions to Water Quality Classifications in the Housatonic and South west Coastal Basin.
- Completed one public hearing to consider requests to amend groundwater quality classifications at 11 sites.
- Continued to rotating basin (water quality and benthic invertebrate community) monitoring program in the Connecticut River Basin.
- Conducted seasonal, weekly beach monitoring for indicator bacteria at 22 state-owned beaches (4 coastal and 18 inland).
- Continued to monitor incidences of deformed frogs at Porter Pond in eastern Connecticut with focus on water quality monitoring for herbicides.
- Continued the long term, cooperative ambient monitoring program with the United States Geological Survey at 33 sites on 15 waterbodies.
- Received conditional approval for the Coastal Nonpoint Pollution Control Program plan from EPA and NOAA.
- Participated in Acid Rain Action Plan implementation and monitoring plan development for the New England Governors and Eastern Canadian Premiers Conference.
- Drafted improvement strategy (e.g. "TMDL analysis") in partnership with NY State and the EPA to implement "Phase III" nitrogen reductions to Long Island Sound over the next 15 years.
- Continued year-round monitoring of oxygen and nutrients in Long Island Sound to track improvements from nitrogen reduction activities.
- The Long Island Sound Study adopted a goal of restoring 2000 acres of coastal habitat and 100 miles of riverine migratory corridors for anadromous fish in the next ten years. An interagency team has identified 111 priority sites to guide restoration efforts and is cooperating on a number of restoration projects.
- Implemented another year of Connecticut's Nonpoint Source Management Program, including federal grant awards to implement nonpoint source control activities, nearly \$2 million per year.
- Monitored construction of the \$170 million Waterbury advanced sewage treatment plant project which, when completed, will result in major improvements in the Naugatuck River. Phase I was completed on time and phase II was initiated. Anticipated completion date is May 2000.
- With CWF financing the City of Middletown eliminated the final combined sewer overflow in its sewerage system. Numerous other CWF construction projects continued including the Thomaston advanced sewage treatment plant which has an anticipated completion date of mid 2000.
- First State in New England and 16th nationally to receive approval from EPA for List of Impaired Waters not Meeting Water Quality Standards required by Section 303(d) of the Clean Water Act.
- Drafted 3 Total Daily Maximum Load analyses for waters identified on the Impaired Waters List.
- Reviewed proposed discharge permits regarding effluent limits and monitoring requirements for potential to harm aquatic life and human health.
- Reviewed stormwater monitoring data to evaluate program effectiveness in reducing stormwater pollutant loadings, identified priority facilities for on-site inspection and possible enforcement action by PERD staff.
- Completed six River Restoration Projects totaling more than \$350,000 in state funds for Ketch Brook in East Windsor; Blackberry River in Canaan; Willimantic River in Windham; Hockanum River in East Hartford; Quinebaug River in Putnam; and Merrick Brook in Scotland.
- Obtained a CWF grant of \$155,620 (River Restoration Project) for the Yantic River in Norwich.

- Completed, in cooperation with the USDA NRCS, Connecticut's Unified Watershed Assessment which qualified the state for an additional \$1M in federal Clean Water Act Section 319 watershed restoration funds.
- Participated with several state and federal agencies in negotiations with General Electric Company on Housatonic River PCB contamination, resulting in an interstate Settlement Agreement on remediation and natural resource damages.
- Completed four lake water quality improvement projects, completed phase II dredging of Silver Lake, and initiated 19 new lake and pond restoration grant projects totaling more than \$2M in state funds.

Office of the Deputy Commissioner for Environmental Conservation The Environmental and Geographic Information Center (EGIC):

This past year the Natural Resources Center (NRC) acquired a new director and changed its name to the Environmental and Geographic Information Center (EGIC). EGIC's mission is to develop, manage, and maintain programs that focus on natural resource inventory, monitoring and research of the state's land surface, earth materials, *and biota*; identify and explain the interrelationships and processes among resources; meet the state's and public's need for environmental and geographic information; promote and conduct scientific study of natural resource processes; and provide technical support and management strategies for land and water decisions.

Public Service

EGIC operates and maintains a geographic information system (GIS) – digital spatial data coverages and attribute data; a centralized map and publication retail/library outlet providing much of the published information used by the public and the business community for recreational, resource planning/management and regulatory applications and review.

Improvements/Achievements 1998-99

Some of EGIC's major accomplishments in FY99:

- Published *The River Book – The Nature and Management of Streams in Glaciated Terranes* by James Grant MacBroom, hardcover, 240 pages.
- In cooperation with the U.S. Geological Survey, produced a Glacial Geologic Map of Connecticut and Long Island Sound Basin that was officially Open-Filed by the USGS.
- Developed a DEP Invasive Species Policy.
- Began making EGIC-related information available over the World Wide Web, including material about endangered species and the Natural Diversity DataBase, and maps and data for selected Connecticut Lakes and Ponds.

Office of Resource Management

This office administers the Natural Area Preserves Program and the Greenways Assistance Center. A primary goal of both efforts is to identify and protect significant natural features and habitats while allowing for appropriate public use.

During the past fiscal year the Natural Area Preserves Program featured activity in three program components: Administration, Preserve Management, and Preserve Designation. Legislation was prepared and adopted which will permit access to funding sources for the purpose of developing management plans. The existing management plan regulations were revised, presented at a public hearing, and introduced into the regulation review process. Three management plans for individual preserves have been initiated with an additional nine drafted and scheduled for public hearing. Governor Rowland designated five new preserves, enlarging the Natural Area Preserve System to 5,560 acres. In addition, a preliminary listing of new preserve candidates is under development.

DEP's Greenways Assistance Center coordinates greenways activities within the Department, working with the Connecticut Greenways Council, DOT and DECD, and develops strategies to connect areas of linear open space around the state. During FY 99, the Assistance Center worked with the Greenways Council to produce a greenways license plate with revenues to be used to fund a greenways small grants program. Working with the Office of State Parks, a management plan for the system of Linear State Park Trails in Eastern Connecticut was developed. The DEP is also partnering with the DOT to produce a guide to multi-use trails in the state.

Bureau of Natural Resources

The mission of the Bureau of Natural Resources is to conserve, protect and enhance Connecticut's fisheries, forestry, and wildlife resources for the public benefit, and to educate the public about natural resources and their management.

The Fisheries Division manages resources in Connecticut to provide sustainable populations, including endangered species, commensurate with habitat capacity and relevant ecological, social and economic considerations; regulates and manages anadromous, marine commercial and marine recreational fisheries consistent with interjurisdictional management plans and target harvest objectives; regulates and manages inland fish populations and habitat through various stocking, population manipulation and habitat preservation and improvement programs; protects and conserves aquatic habitat and associated riparian zones by reviewing and commenting on permit applications for development, water diversion, and habitat alteration; and conducts public awareness and educational programs.

The Forestry Division manages state-owned forest lands for long term health and vigor as well as multiple uses by a variety of interests, through forest monitoring, tree harvest, forest fire protection and forest conservation education; provides technical assistance to forest land owners for wood production, recreation, watershed management, wildlife habitat and aesthetics; provides marketing support to Connecticut's wood utilization industry; conducts and urban tree planting and management program; operates a tree nursery for state forestry programs and to supply forest planting stock at cost to Connecticut residents; conducts an aggressive forest fire prevention control program, including training for municipal fire departments, provision of specialized fire equipment, administration of federal funds to rural fire departments, public education and participation in the Northwestern Forest Fire Protection Commission; certifies forest practitioners and designates land as "forest land" under Connecticut General Statutes.

The Wildlife Division manages wildlife resources in the state to provide stable, healthy populations of wildlife species, including endangered and threatened species, on all suitable habitat in numbers compatible with both carrying capacity and existing land use practices; conducts public awareness and technical assistance programs to enhance privately owned habitat and promote an appreciation for and understanding of the value and use of Connecticut's wildlife; manages wildlife habitat on state forests and wildlife management areas; regulates hunting seasons and bag limits for all harvestable wildlife species within Connecticut; manages public hunting opportunities on state-owned, state-leased and permit-required areas; and conducts, with volunteer assistance, conservation education and safety programs to promote safe and ethical hunting practices.

Public Service

Successfully completed CT Free Fishing Day (June 5th) activities. More than 1,100 citizens visited our 7 fishing sites across the State.

Improvements/Achievements 1998-99**Fisheries**

Initiated expansion of northern pike fisheries into Pachaug Pond, Griswold and Quaddick Reservoir, Thompson.

Completed two draft fisheries management plans involving "Management Plan for Bass in Connecticut Waters" and "Trout Management Plan for Connecticut's Rivers and Streams", and held five public information meetings regarding these plans.

Phase IIIa renovation activities at Quinebaug Valley Fish Hatchery were substantially completed.

Completed review of the Draft Application for New License - Housatonic River Project, as submitted by Connecticut Light and Power Company. Altering 76 of 83 miles of the Housatonic River in Connecticut, the Project effects water quality, natural riverine community structure, and anadromous fish and endangered freshwater mussel restoration potential.

Completed the first phase of the cooperative Naugatuck River Restoration Initiative, restoring anadromous fish passage above the Kinneytown Hydropower Project, Seymour, and removing the Anaconda Dam, Waterbury.

Partnered with Business, Industry, Trout Unlimited, and USEPA regarding the design, construction, and operation of three new fishways that were opened for the spring anadromous fish runs (Trading Cove Brook, Little River, and Naugatuck River).

Completed comprehensive report on the menhaden fishery in Long Island Sound and intro-

duced legislation, which was ultimately approved to protect this species.

Developed and implemented new or revised regulations or statutes to enhance the rebuilding of stocks for 7 different marine species, and updated 14 of the 17 Marine Fishery Management plans.

Forestry

In the Forest Practitioner Certification program, a total of 584 persons are now certified, including 120 Foresters, 310 Supervising Forest Products Harvesters, and 154 Forest Products Harvesters. This is an increase of 81 certificates over last year.

Implementation of the Forest Practices Act continues with re-drafting of the regulations concerning forest management practices.

Forestry assistance to private landowners and municipalities resulted in 22 staff presentations to 529 people, 255 landowners of a total of 9,402 acres received visits/inspections and 47 management plans written/approved covering 1,790 acres.

Silvicultural management was conducted on 2,000 acres of state-owned land, resulting in the harvest of 6.96 million board feet of timber and 734 cords of cordwood. Accomplishments in acres managed achieved the FY 99 goal of treating 2,000 acres of State-owned forestland. In addition, higher market values for forest products generated a 1.4% increase in value received.

Five Forest Management Plans were completed which will guide forest management efforts on 11,939 acres of State Forest for the next 10 years.

Wildlife

The Conservation Education/Firearms Safety program graduated 4,151 students (Firearms: 2,784; Bowhunting: 1,267; Trapping: 100) during the past fiscal year with 300+ volunteer instructors donating more than 14,603 hours to the program.

The Department responded to a dramatic increase in black bear complaints during 1999 and five bears were immobilized and relocated by Law Enforcement and Wildlife Division staff. The Department is revising its bear policy in anticipation the bear population's continued expansion.

The Wildlife Division coordinated the banding of 3 peregrine falcon chicks in Hartford and documented another successful peregrine nest in the Bridgeport area. Bald eagle pairs nested in Barkhamsted and Suffield, but neither nest produced young.

The Wildlife Division initiated a review of the pheasant program that will include an assessment of stocking areas and distribution strategies.

Wildlife Division and Law Enforcement staff developed recommendations to improve hunting safety.

During 1998, 447 pairs of least terns fledged 105 young, and 21 pair of piping plovers produced 22 young. Ospreys, recently delisted as special concern species, produced 141 nests and fledged 203 young.

Wildlife Division received \$42,000 in grants under the USDA Natural Resource Conservation Service's WHIP (Wildlife Habitat Incentive Program) to conduct wildlife enhancements on 6 Wildlife Management Areas.

Continued urban deer management study in southeastern Connecticut using radio-telemetry to study deer movements and population dynamics and surveys to determine the attitudes of community residents regarding the deer population. Oversaw implementation of an immunocontraception research project sponsored by the Humane Society of the United States.

Continued a 3-year project to study the habitat requirements and population status of the timber rattlesnake, a state-endangered species. Results will be used to develop land management and potential land acquisition guidelines. Sponsors include the Forestry Division, United States Fish and Wildlife Service, and The Nature Conservancy.

Bureau of Outdoor Recreation

Improvements/Achievements 1998-99

During FY99, nearly \$22 million dollars was spent to improve State Park infrastructure under Connecticut's "2010" State Park Infrastructure Improvement Initiative.

A major park renovation began at Indian Well State Park in Shelton including new roads, restroom, boat launch and expanded beach.

Work was completed on Phase I of Silver Sands State Park in Milford, which will become Connecticut's fourth major shoreline state park.

Two new restroom buildings and lifeguard stations were completed and a new sewer line installed and opened in time for Memorial Day at Sherwood Island State Park in Westport. The restroom replaced dilapidated, non-handicapped accessible structures.

The Master Plan was completed and work was begun on the new Fort Trumbull State Park in New London. The park will be open for the OPSAIL2000 event. The property, the former site of the first US Coast Guard Academy, is currently under lease from the Navy by State Parks. The project will cost \$20 million to complete.

Heublein Tower at Talcott Mountain State Park in Simsbury received a \$500,000 facelift including a new coat of paint, lights, windows and a new cupola, which restored the historic accuracy to the tower.

The Beckley Furnace State Park Industrial Monument in East Canaan is undergoing a \$70,000 stabilization and restoration project.

The castle at Gillette Castle is receiving a new roof and structural improvements. The park is among the top ten tourist attractions in Connecticut.

Friends of Connecticut State Parks and State Parks Division Staff established a new web-page for the Connecticut State Parks friends organizations.

Future Projects:

Work was started on a State Parks Campground Reservation Service projected to begin by January 2000. The service will enable campers to make reservations for campsites by telephone via a 1-800 number. Campers will be able to pay for the site with a credit card and receive a confirmation number for the reservation.

Renovation work began on a new entrance complex at Sherwood Island State Park in Westport, new campground restrooms at Hopeville Pond State Park in Griswold and Kettletown State Park in Southbury, and a new boardwalk at Hammonasset Beach State Park in Madison.

Land Acquisition and Management Division:

The major source of funding for open space acquisition was state bond funds under the Recreation and Natural Heritage Trust Program (RNHTP) and the Open Space and Watershed Land Acquisition Program. Staff completed twenty-three RNHTP acquisitions conserving 3,555.58 acres in fee as public open space. Among these acquisitions were two donations of land totaling 10.13 acres. The acquisition of a 39.31 acre parcel was completed using West Rock Ridge Special Act funding. The acreage acquired during FY99 was the highest total for any one year in the past twenty years.

Forty-five grants were provided to thirty-eight project sponsors under the Open Space and Watershed Land Acquisition Program for the acquisition of 4,186 acres of open space land. There are currently forty-four active projects administered through the Connecticut Outdoor Recreation Fund program. Eight projects were funded during FY99 through Special Act authorizations to provide six municipalities the opportunity to acquire and/or develop public outdoor recreation facilities. Urban Action Act Funding was made available for twenty-one projects in eight municipalities to provide open space for Connecticut's residents. Nineteen grants were awarded to thirteen municipalities, two nonprofit organizations, and for four state projects from the Federal Recreation Trails Program that will develop, maintain, or improve over forty-five miles of public recreation trails.

Property Management staff completed review of fourteen proposals for exchange, lease, or transfer of DEP lands: transactions completed include six transfers of custody and control; two lease extension; one exchange of lands; release of an access easement; two special uses licenses, two easements, one boundary line agreement; and one transfer for ingress/egress in Hamden. Additionally, ten agricultural leases to local farmers for wildlife management on DEP lands were completed.

Acquisition of flood control property resulted in the acquisition of one parcel, seven permanent easements, and one temporary easement.

Staff resolved 26 boundary disputes which may have lead to litigation and loss of state open space land; completed 29 surveys on over 3,100 acres of land; and completed transfer of 18.69 acres of land in Montville to the Mohegan Indian Tribe.

Conservation Law Enforcement Division:

The mission of the Law Enforcement Division is to provide public safety patrols throughout state parks, forests, open lands, waterways, and Long Island Sound; To protect and conserve Connecticut's forests, fish and wildlife; And to provide public education of natural resources and related laws.

Public Service

The primary customer base that the Law Enforcement Division deals with is the hunters, fishermen, boaters, and citizens who utilize the state parks and forests. The effectiveness of the operations of the Law Enforcement Division may best be gauged by comparing the number of public contacts in the areas or responsibility versus the number of arrests and warnings made. Through effective enforcement methods, the division has the ability to educate the public while at the same time fulfilling the necessary enforcement role to ensure compliance with existing laws and regulations.

Improvements/Achievements 1998-99

During FY99 the Law Enforcement Division made the following improvements/achievements:

- Began full Computer Aided Dispatch operations for the D.E.P. Emergency Dispatch Center and full operations of computerized record management for criminal arrest records.
- Established a Recreational Law Enforcement unit to focus on enforcement and public safety activities in state parks and forests.
- Obtained a \$275,000 federal grant to purchase laptop computers and portable printers for all Conservation Officers along with additional office computer equipment and funding to hire four full time records clerks to manage criminal records.
- Handled 11,777 incidents including 5,545 arrests, 1,823 warnings.
- Officers checked over 83,000 hunters, fishers, boaters and other outdoor enthusiasts.
- Public outreach efforts reached over 500,000 individuals at a variety of state fairs, shows, and demonstrations.

Boating Division:

Boating Division provides oversight for operation, maintenance, and construction of 121 boat launches statewide.

The Connecticut River was been marked with navigational beacons and buoys; 18 mark six separate "Steorage Speed Only" areas; and 16 mark seven "Slow No Wake" areas.

The Housatonic River was also marked with beacons and buoys. There is "Steorage Speed Only" through Nells Island and the salt marsh, through the main channel from the mouth of the river to the north end of Wooster Island.

Twenty-three regulatory marker permits were issued.

The equivalency examination for the Safe Boating Certificate was administered to 596 boaters. Seventy percent passed; thirty percent failed the exam.

To date, 9,165 students have graduated from the basic boating course and the personal watercraft-handling course. The volunteer boating instructor corps taught 319 courses.

85 volunteers at Marine Law Enforcement Officer Seminar attended the annual Educational Seminar for boating instructors. 135 officers completed training in sound measurements on the water, life jacket demonstrations, and new laws and regulations.

Development of Internet presence with access to the public including:

- Current Safe Boating Course listings. (Instantly updated)
- Frequently asked questions about boater education and certification.
- Downloadable 1999 *Connecticut Boater's Guide*.
- Safe Boating Certificates were issued to 11,889 boaters and Certificates of Personal Watercraft Operation were also issued to 9,207 boat operators.

Council on Environmental Quality

At a Glance

DONAL C. O'BRIEN, Jr., Chairman
Karl J. Wagener, Executive Director
Established - 1971
Statutory authority - CGS 22a-11
Central office - 79 Elm Street,
6th floor, Hartford, CT 06106
Number of employees - 2
Recurring operating expenses -
\$108,388
Organizational structure - 9-member
volunteer council

Mission

The Council on Environmental Quality's three primary functions are to prepare and submit to the Governor an annual report on the status of Connecticut's environment; to review construction projects of state agencies; and to receive and investigate citizen complaints. The Council is within the Department of Environmental Protection (DEP) for administrative purposes only. Members of the nine-person Council are appointed by the Governor(5), Speaker of the House(2) and President Pro Tempore of the Senate (2). Members serve without compensation.

Statutory Responsibility

Statutes require the Council to report annually on trends in Connecticut's environment as well as the state's progress toward the goals of the statewide environmental plan. The Council reviewed Environmental Impact Evaluations (EIEs) and Findings of No Significant Impact (FNSIs) produced for state agencies' construction projects under the Connecticut Environmental Policy Act.

Public Service

The Council received hundreds of calls regarding environmental problems, most of which were referred to the appropriate unit of the DEP when possible. In several cases, the Council invited concerned citizens, business and environmental leaders, and relevant state and local officials to speak at council meetings. The Council also held two public forums, in Litchfield and Middlesex Counties, to hear citizens' views on what the state's environmental priorities should be. Council staff responded to 100 percent of complaints received, and was able to obtain satisfactory action for the majority of complaints. Council staff also responded to hundreds of requests for information from citizens and the news media.

Improvements/Achievements 1998-99

To help the public make sense of the potentially confusing and conflicting technical data on environmental trends, the Council continued to use its format of 26 simple environmental indicators that clearly chart the state's progress. The 1998 (calendar year) report also discussed Connecticut's tremendous progress in the conservation of land and related resources, the impacts of utility deregulation on the environment, environmental compliance in Connecticut (for which a new indicator was developed), and recommendations for improving related policies. The Council again made a deliberate effort to make its report short, attractive, and easy to understand. In addition to its annual report, the Council published, and will continue to publish, interim reports which investigate in depth a current topic of environmental concern.

Reducing Waste

To contain costs while improving productivity, the Council made significant use of unpaid interns. It also created an email distribution list for its meeting notices and minutes, resulting in reduced paper and postage.

Strategic Planning

The Council determines priorities annually, based on its assessment of the environmental problems or issues that require the highest attention, and the staff devises the lowest-cost strategy for addressing these priorities.



State Ethics Commission

At a Glance

ALAN S. PLOFSKY, *Executive Director and General Counsel*
Established - 1978
Statutory authority - CGS Section 1-80
Central office - 20 Trinity Street,
Hartford, CT 06106
Number of employees - 10
Recurring operating expenses - \$670,686

Mission

The State Ethics Commission is one of the principal agencies established to build and maintain the confidence of Connecticut's citizens in the integrity of their state government.

Statutory Responsibility

The Commission administers and enforces a code of ethics for public officials and state employees and a code of ethics for lobbyists.

Public Service

The Commission carries out its responsibilities through programs of education, advice, and enforcement.

Improvements/Achievements 1998-99

The Commission distributed approximately 20,000 guides and newsletters, and conducted some 30 education programs. It issued approximately 300 formal and informal opinions interpreting the codes. It also completed nine complaint proceedings, resulting in the imposition of \$18,000 in civil penalties, and the return of an additional \$9,500 in improper benefits.

During the 1999 General Assembly session, approximately 2,500 lobbyists were registered and filed periodic financial reports. Additionally, the Commission received some 1,500 annual financial interest statements from the state's public officials and senior employees. Most information on file is public.

Reducing Waste

Through an increased emphasis on administration and enforcement of the code's provisions regarding independent contractors and consultants, the Commission has taken significant steps to insure that state funds are expended in a cost-effective manner.

Strategic Planning

The Commission plans to continue all aspects of its education, advice, and enforcement programs within current funding. Additionally, to increase public access to information, the Commission plans to revise and expand its website.

The State Ethics Commission is strongly committed to the concept of equal opportunity and is an affirmative action employer.



Finance Advisory Committee

At a Glance

HONORABLE JOHN G. ROWLAND,
Chairman
Marc S. Ryan, Clerk
John Bacewicz, Assistant Clerk
Established -1943
Statutory authority - CGS Section
4-93 et. al.
Central office - State Capitol,
Hartford, CT 06106
Average number of full-time employees -
None

Mission

The mission of the Finance Advisory Committee is stated under Statutory Authority.

Statutory Responsibility

Approval of the Finance Advisory Committee is required for all transfers from the resources of any state fund to any budgetary agency in excess of the regular appropriations thereof and for the transfers of any unexpended balances of appropriations to other appropriations of the same agency when such transfers exceed \$50,000 or 10% of such appropriations in any fiscal year.

Membership on the Committee, composed of four elected state officers, and five legislative members, is as follows:

Governor John G. Rowland; Lieutenant Governor M. Jodi Rell; State Comptroller Nancy S. Wyman; State Treasurer Denise Nappier; Senators Robert Genuario, Jr. and Joseph Crisco, Jr.; Representatives William Dyson, Peter Metz and Annette Carter. Alternate members are as follows: Senators Toni Harp and Judith Freedman; Representatives Robert Ward; Kevin Ryan and Terry Backer.

The Secretary of the Office of Policy and Management serves as clerk and the Executive Budget Officer of Budget and Financial Management Division as assistant clerk.

See appendices for a listing of the transactions approved by the Committee during the fiscal year ended June 30, 1999.



Commission on Fire Prevention and Control

At a Glance

JEFFREY J. MORRISSETTE,
State Fire Administrator
Established - 1975
Statutory authority - CGS Chap. 7-323
Central office - Connecticut Fire Academy,
34 Perimeter Road,
Windsor Locks, CT 06096
Average number of full-time employees - 22
Recurring operating expenses - \$1,800,287
Capital outlay - \$107,814
Organization structure - Office of State Fire
Administration, Training, Certification,
Public Information and Fiscal Services



Mission

To prevent or mitigate the effects of fire and disasters, either natural or man-made, on the citizens of the State of Connecticut. This objective shall be accomplished through the development and delivery of state-of-the-art educational programs designed to meet nationally recognized standards, certification of individuals to such standards and maintenance of up-to-date resources for use by fire service personnel, public educators and other first responders.

Statutory Responsibility

The Commission proudly presents the following summary of services, programs and activities as evidence that the responsibilities entrusted to it have been faithfully administered.

The Commission is an autonomous state agency within the Department of Public Safety for administrative purposes only. The agency is charged with and has primary responsibility for training, public fire and life safety education, and professional certification for members of the fire service. Conn. Gen. Statutes Title 7; Secs. 7-323(j) through 7-323(q), 13(a) - 248; and others.

Public Service

The commissioners and staff are committed to Public Service Excellence. Feedback is continually solicited through the use of comment sheets, surveys, and regular interaction with fire service organizations.

In an effort to promote and market agency services, a display booth was staffed at three state and regional conferences during the year. Staff members continued to serve as a resource on fire service and public fire education issues to the television, radio, and newsprint media. The Academy and its programs were the basis for numerous feature stories positively impacting local public safety efforts.

The agency conducted 27 tours of the Connecticut Fire Academy facility in response to requests from legislators, local civic organizations, Boy Scout troops, and other interested citizens.

Improvements/Achievements 1998-99

A conscious effort is continually made to schedule programs and services within every region of the state. The needs of both the volunteer and career sectors of the fire service are gauged in consideration of program development and delivery:

- Filled 3,627 dormitory room reservation requests.
- Received a \$4,000 grant from the National Volunteer Fire Council via the Connecticut State Firefighters' Association in support of the Introduction to the Fire Service Summer Camp program. Hosted two programs with 80 participants from junior, cadet, and Explorer programs.
- Conducted quarterly Academy Safety Committee meetings to review safety issues.

Developed a training severe weather policy. In support of said policy, developed a reversible heat stress and cold weather reference chart for use by the Academy and local departments.

- Developed curriculum on the tactical use of thermal imaging cameras for hand-off to Regional Fire Schools. Additional funding was appropriated by the legislature for this project.
- Burn Building non-slip floor options were tested by staff with a final recommendation made for correction. Staff labor completed a classroom space expansion project. Several classrooms were carpeted for both comfort and maintenance efficiencies. The Sprinkler Laboratory project was completed and is now operational.
- Agency received a \$5,000 grant from the Connecticut FAIR Plan to aid in the purchase of a new robotic public education device.

Reducing Waste

The Commission remains a small, efficient, organizationally streamlined agency. Through the use of full-time staff serving as facilitators and coordinators, adjunct instructors deliver a majority of agency services.

Strategic Planning

During the last quarter of the fiscal year the Commission initiated an update of its strategic plan. Six public forums were held throughout the state in an effort to solicit local needs and concerns. Issues identified will be evaluated and integrated into the Commission's plan which is expected to be completed in the second quarter of fiscal year 2000.

Administrative Projects

The State Fire Administrator and staff remain active in state and national committees, boards, and organizations to maintain a positive proactive impact upon services. By Connecticut General Statute, the Administrator serves on both the State Emergency Response and Enhanced 911 Commissions thus maintaining a communications link. The Director of Training serves as the Commission's representative on the Department of Public Health's Office of Emergency Medical Services Advisory Board. Administrative projects completed or ongoing include:

- In cooperation with the National Volunteer Fire Council, implemented a national volunteer fire and emergency services recruitment program entitled 1-800-FIRE LINE. Interested callers can be referred to local volunteer fire departments, EMS organizations, Civil Air Patrol, and the American Red Cross. During the fiscal year, a total of 176 calls were received with 84 being referred to local organizations.
- The Commission has made available, at cost, a number of FIRE LINE promotional materials including brochures, videotapes, posters, and reflective signs that promote volunteerism. Planning was initiated to produce a series of audio and video public service announcements for distribution to media outlets. The Commission also facilitated the free distribution of a volunteer fire and emergency services videotape to every public and private high school and library in the state.
- Hosted two forums on volunteer recruitment and retention with 73 attendees.
- Staff development was presented on issues of Sexual Harassment Awareness and Team Building.
- Planned and coordinated the State Emergency Response Commission's Annual Conference. A total of 292 participants took part in three regional dinner meetings.
- Provided ongoing assistance to the Joint Council of Connecticut Fire Service Organizations including planning for Fire Service Day at the Capitol.
- Enhanced and expanded the agency's homepage presence on the internet. For a second year, the site has been accessed in excess of 10,000 times.
- Upgraded the agency's information technology resources and completed various Y2K compliance assessments and upgrades where necessary on computers, software, and embedded building systems. Expanded electronic mail and internet access to all staff members. Interested adjunct instructors were also provided electronic mail accounts. Purchased a laser color printer greatly enhancing in-house printing.

Certification Division

The Certification Division is headed by Director Frederick W. Piechota, Jr. The division is responsible for the development and administration of a voluntary fire service testing and certification program. All examinations are based upon the Standards for Fire Service Professional Qualifications developed by the National Fire Protection Association. The Certification System continues to be held in high regard nationally as is evidenced by the national accreditation granted to the Commission by the National Board on Fire Service Professional Qualifications. The Commission is currently scheduled for a site visit for the purpose of receiving a second national accreditation by the International Fire Service Accreditation Congress. The security and integrity of the system remains a high priority as numerous fire departments have mandated certification through contractual or organizational requirements making it crucial the system be able to withstand legal challenge.

Fiscal Year 1999 saw a total of 3,322 personnel tested within the 13 levels of professional competency offered with an 81 percent passing rate.

Five test item banks were reviewed utilizing the Commission's peer question review process which is designed to ensure the nationally developed test item banks utilized are valid for Connecticut's fire service. Planning has begun on a project to develop interactive computer simulation testing that will allow more realistic certification examinations at advanced levels.

A major initiative continues to be the development and administration of an entirely new method of examining practical skills required by the newly revised and formatted Fire Service Professional Qualifications Standards.

During the year, the Commission and the division worked closely with the Department of Administrative Services to develop and modify examination procedures to ensure compliance with the Americans with Disabilities Act. Special emphasis was placed upon development of appropriate testing accommodations that fall within the parameters of the Fire Service Professional Qualifications Standards.

The division continues to execute its contract with Performance Training Systems, Inc., a private corporation that markets this agency's certification questions to state and local fire training agencies throughout the United States. The continuation of this contract and the significant increase in dependence on the Commission to provide up-to-date, state-of-the-art, examination questions demonstrates the high regard and esteem with which the Commission's Certification System is viewed.

The division continued to assist a number of departments with the administration of local promotional examinations through the use of its question database.

Fiscal Services Division

The Fiscal Services Division is headed by Director Peter F. O'Neil. The division is responsible for all of the Commission's accounting, budgeting, personnel, purchasing, payroll, contracting, and physical plant functions at the Connecticut Fire Academy. The Commission also continues successful use of a contracted food service operation for its customers and staff.

The Commission's database allows this division to increase its effort in collecting past due accounts. Total accounts receivable over 120 days continues to be less than one percent outstanding. Use of the state's on-line accounting system allows for daily deposits with the State Treasurer. Final phase of system implementation this fiscal year will increase timeliness of invoice payments, helping to take advantage of vendor discounts.

A substantial amount of publishing continues to be accomplished by this agency. Materials range from student workbooks and manuals to program flyers and the annual Training Course Catalog. The audiovisual library remains productive, loaning to local fire departments in excess of 1,000 training/education films, slides, audio, and videotapes annually.

The division administers payments to volunteer fire departments for emergency responses to limited access highways. An increase of \$60,000 to the agency's appropriation now allows for up to 2,200 payments annually at \$100 per transaction. Over 98 percent of last fiscal year's appropriation was remitted to eligible entities.

Public Education and Information

This division is headed by Director Cynthia Colton-Reichler. A major responsibility of this division continues to focus on providing education and technical assistance in the development of local juvenile firesetting programs.

The number of consultations on juvenile firesetting issues rose dramatically. An estimated 60 percent of the 169 towns in Connecticut requested some juvenile firesetting assistance. There were eight new programs established in Connecticut. This division provided technical assistance on program policies and procedures to two towns who organized Interdisciplinary Juvenile Firesetting Coalitions. In addition, the Director participated on the Department of Public Safety's Connecticut Fire Incident Reporting System 5.0 Implementation Committee in an effort to create a juvenile firesetting module. For the first time, this module will permit the capture of statewide data on the juvenile firesetting problem.

The Director served on the National Fire Protection Association's Professional Qualifications Standards committee for Public Fire & Life Safety Educators which has developed the first national standard on juvenile firesetting.

The Director served as a training liaison to the Connecticut Department of Public Health and CT SAFE KIDS Coalition on a smoke detector grant application, injury prevention training, and other fire and injury related projects.

The Kid's Fire Safety House was reassigned to the Public Education Division which delivered 122 programs to 56 communities throughout the state.

An annual Juvenile Firesetting Conference and Public Fire & Life Safety Educators' Conference was well attended with 121 participants. The division's web page was expanded and enhanced to provide a much needed information link.

Training Division

The Training Division is headed by Director of Training Adam D. Piskura. The division is responsible for the development and delivery of Fire, Hazardous Materials/OSHA Compliance, Emergency Medical Services, and related public safety training programs. In Fiscal Year 1998-99, 653 programs were delivered to 11,913 students, resulting in 139,668 student contact hours. Program participants included municipal firefighters and police officers, public works, state employees, industrial and military employees. An additional 10,000 Emergency Responders were trained through the agency's Train-the-Trainer programs by municipal certified instructors and funded by federal grants for hazardous materials training in cooperation with the State Emergency Response Commission.

The staff continued curriculum development efforts focusing on Fire Officer I and II revisions and development of Fire Officer III and IV programs. A course to address platform skills is currently in concept development in an effort to serve as a bridge between the Fire Service Instructor I and II programs. Staff time was also spent developing specifications for the purchase of laptop computers and media projection units. A Flashover simulator was purchased to provide critical firefighter safety and survival skills to class participants.

In addition to regularly scheduled programs, the following special programs were offered:

- 16th Annual June Fire School attended by 1,000 students.
- 9th Annual Chemical Emergency and Community Response Conference attended by 400 students.
- Annual Fire Officer Weekend at the National Fire Academy, attended by 180 students.
- Co-sponsored the 14th Annual Fire Apparatus Driver Safety Rodeo designed to promote safe operation of emergency response vehicles.
- Co-sponsored the Annual Trade Region I, New England Training Weekend in Amherst, MA. Forty percent of the attendees were from Connecticut, while the remainder was shared among the other five New England states.
- Hosted the annual meeting of the North American Fire Training Directors with 55 Directors of Fire Training from throughout the United States and Canada participating.

Membership:

Members of the Commission on Fire Prevention and Control are appointed by the Governor and represent statewide fire service organizations. The following commissioners served during the year: Chairman Peter Carozza, Jr., Waterbury; Vice Chairman John Vendetta, Hartford; Secretary Edward F. Haber, Berlin; Jon W. Andresen, Windsor; Robert J. Chatfield, Prospect; Edward B. Gomeau, Stratford; William Johnson, West Haven; Kevin J. Kowalski, Simsbury; Maurice F. McCarthy, Waterbury; Daniel Milewski, Stratford; Peter Mullen, Branford; George J. Munkenbeck, Jr., Waterbury; Richard H. Nicol, Middlebury; and Wayne Maheu, Middletown.

Board of Firearms Permit Examiners

At a Glance

MICHAEL O'CONNOR, ESQ.,
Chairman
William P. Longo, Secretary
Established - 1967
Statutory authority - CGS Section 29-32b
Central office - 251 Maxim Road, Hartford, CT 06114
Number of employees - 1 full time, 1 part time
Recurring operating expenses - \$112, 641
Organizational structure - Chairman, Secretary, Board Members

Mission

The Board of Firearms Permit Examiners mission is to provide a means of appeal for handgun permit, handgun certificate, and dangerous weapons permit denials and revocations; to help effect a uniform interpretation and application of firearms laws by permit holders, police officials, attorneys, sportsmen, legislators, and the general public.

Statutory Responsibility

The statutory responsibility of the Board is to administer and enforce the provisions of Section 29-32b, Connecticut General Statutes. Under that section, the Board has the responsibility of making inquiries and investigations, taking testimony, and rendering decisions in connection with appeals brought to the Board by persons aggrieved by the action or inaction of an issuing authority in matters pertaining to Section 29-28 or 29-28a, pistol or revolver permits; Section 29-36f or 29-36g, eligibility certificates; or Section 53-206 or 53-206a in the case of dangerous weapons permits. The administrative appeals process avoids the more costly and time-consuming process of filing an appeal with the court system for the appellant, the issuing authority, and the state.

Improvements/Achievements 1998-99

The public has improved access to the Board through the Internet. The Board has developed a website that links with the State of Connecticut website. Frequently asked questions and e-mail features give the public another avenue to the appeals process. The booklet, Laws Pertaining to Firearms and to Dangerous Weapons, will be added and updated on the website to assure the public up to date information regarding rights and requirements under the law.

The computer hardware and software are now Y2K compliant.

During 1998-1999, the number of request for assistance were as follows:

- Appeals received and investigated - 355
- 16 hearing held
- 86 cases heard

Reducing Waste

The Board consists of seven volunteer members with only two paid positions, one full-time administrator, and one part-time clerk typist. The small budget limits any waste. Administrative functions and programs are reviewed for cost-effectiveness. Periodic communication with other agencies has resulted in the reduction of duplication of efforts.

Strategic Planning

The goal of the Board is to continue to improve services to the public by insuring easy access to the appeals procedure, limited waiting period from the time of the appeal to the hearing, a fair and impartial hearing, and accurate and complete information regarding firearms laws.

Information Reported as Required by State Statute

The Board operates, and will continue to operate in conformance with Sections 46a to 46a-78, inclusive of the General Statutes of Connecticut.

Membership- *Seven Board members appointed by the Governor are: Chairman Michael O'Connor, Secretary William P. Longo, Arthur C. Carr, George M. Carolan, Dennis P. DeCarli, Peter Kuck, and Chief John Karangekis.*



Freedom of Information Commission

At a Glance

Mission

MITCHELL W. PEARLMAN,
Executive Director

Colleen M. Murphy, *Managing Director*

Eric V. Turner, *Director of Public Education*

Clifton A. Leonhardt, *Chief Counsel*

Mary E. Schwind, *Director of Adjudication*

Gloria J. Davis-Delancy, *Chief Administrative Officer*

Established - 1975

Statutory authority - CGS Section 1-205

*Central office - 18-20 Trinity Street,
Hartford, CT 06106*

Number of employees - 15

Recurring operating expenses - \$925,881

Organizational structure - Commission

To ensure that the people of Connecticut have access to the records and meetings of all public agencies.

Statutory Responsibility

To ensure that all public agencies comply with the Freedom of Information Act(FOIA).

Public Service

The Commission holds hearings on citizen complaints alleging denial of access under the FOIA. It also conducts educational programs and prepares literature for public officials and the general public.

Improvements/Achievements 1998-99

Having effectively eliminated the backlog in its contested case docket, the Commission concentrated on handling all of its contested cases in a timely manner. The Commission also continues to achieve good results through its ombudsman program, which resulted in early and satisfactory settlement of many contested cases. As an on-going project, the Commission continues to update and improve its website, which contains its decisions and other valuable information. The website address is www.state.ct.us/foi. The Commission also continues to revitalize its public education program, sending numerous speakers to educate public officials and members of the public about the requirements of the FOIA. And finally, the Commission collaborated in instituting a survey of compliance by municipalities with the FOIA. The results should be available in the fall of 1999.

Reducing Waste

The Commission is committed to regular reviews of its current operating procedures aimed at reducing waste and increasing efficiency.

Strategic Planning

- Settle contested cases informally through ombudsman program;
- Hear and decide complaints;
- Defend the Commission through staff counsel in all court appeals;
- Render advisory opinions of general applicability under the FOIA;
- Conduct workshops, provide speakers, publish Commission reports and other literature
- Develop public policy positions with regard to issues of information accessibility, privacy and public accountability, especially as they relate to such matters as emerging information technologies.

Information Reported as Required by State Statute

The Commission has developed its own affirmative action plan which complies with the Connecticut General Statutes Section 46a-70 through 46a-78.



Office of Health Care Access

At a Glance

RAYMOND J. GORMAN,
Commissioner
Jane F. Neilsen, Chief of Staff
Established - 1994
Statutory authority -
CGS Chapter 368z
Central office - 410 Capitol Avenue,
Hartford, CT 06134
Number of employees - 33
Recurring operating
expenses - \$2,558,430
Organizational structure - Certification, Policy Planning & Research, Public & Government Relations Units

Mission

The mission of the Office of Health Care Access is to ensure that the citizens of Connecticut have access to a quality health care delivery system. The agency will fulfill its mission by advising policy makers of health care issues; informing the public and the industry of statewide and national trends; and designing and directing health care system development.

Statutory Responsibility

Numerous state statutes empower the Office of Health Care Access (OHCA) to gather and analyze extensive health care data, thus positioning the agency as a preeminent voice in state health care policy deliberations. OHCA's role as neither provider nor purchaser of health care, but rather as policy advisor and information resource permits the agency to assess issues related to health care access, cost and delivery within the state, and to assist policy makers and the industry in crafting a superior health care system for all Connecticut residents.

As OHCA also establishes acute care hospitals' net revenue limits, administers the Uncompensated Care Program, and monitors health care costs, it provides the state a unique capacity to contribute to the financial well-being of the health care delivery system, to identify areas of potential need, and to identify solutions for meeting those needs.

OHCA's role in overseeing and coordinating state health system planning and administering the Certificate of Need (CON) program for hospitals and other types of health care facilities and for all imaging equipment and linear accelerators costing over \$400,000, helps limit excess overhead and capacity in the health care system while encouraging health care system development and collaboration.

The agency's Consumer Information Service uses a wide range of agency data resources to

assist consumers with hospital billing problems and offer Connecticut residents information on the availability of public and private health care insurance coverage, services, programs, and trends.

Public Service

The efficient and thoughtful evolution of health care delivery in Connecticut is a priority for Connecticut's economy, since the cost of providing employee health insurance continues to be a significant business expense. OHCA's Certificate of Need (CON) program helps limit excess costs to the evolving health care system by preventing unnecessary duplication of health care technology, services, and programs. The CON process also provides an opportunity for consumer, provider, and payor participation during the application process and encourages CON applicants to consider collaborative efforts and multiple perspectives in the development of an effective, responsive health care system.

OHCA ensures that access to quality care is available in a fiscally prudent fashion through its oversight of, and influence over, the development of Connecticut's health care delivery system. OHCA accomplishes this by monitoring hospital financial and encounter data, the Uncompensated Care Program, hospital net revenue limits, discount agreements, and preferred provider networks, and by performing relevant health care system analyses. For example, in early 1999, OHCA contracted for a detailed analysis of cardiac service needs. The study will be completed later this year, providing OHCA with comprehensive data for determining the need for cardiac services that can most effectively and efficiently serve the residents of the state.

The Consumer Information Service coordinates health care information for consumers, including persons requiring assistance from more than one state agency and/or those with hospital billing problems. Bilingual assistance is provided through an in-state Consumer Hotline: 1-800-797-9688. Responses are also available to persons calling OHCA's main number at (860) 418-7001. The TDD number for the hearing impaired is (860) 418-7058. Written requests for information and assistance may be faxed to (860) 418-7053.

The Uncompensated Care Program protects access to hospital care for the uninsured and underinsured by providing financial assistance to not-for-profit hospitals which provide a disproportionate share of such care.

In 1998 OHCA launched a website on the State of Connecticut government web page. Information about the agency, consumer assistance, recent OHCA reports and publications, laws, regulations, legal notices, applications, forms, and instructions are available. Links to relevant national, federal, state, and organizational health care-related websites are included. OHCA's website address is <http://www.state.ct.us/OHCA/>.

Improvements/Achievements 1998-99

In 1998-1999, OHCA completely reengineered its Certificate of Need (CON) process, resulting in simplified procedures which reduce paperwork and timeframes for applicants and the agency, while also providing better information with which OHCA can formulate its CON decisions and identify unmet system needs.

The Uncompensated Care Program's Medicaid Disproportionate Share Funding to hospitals resulted in more than \$107 million in federal matching funds to the state this year. In addition, OHCA staff and leadership participated in a significant redesign of the taxation plan which funds the Uncompensated Care Program.

In February 1999, the Robert Wood Johnson Foundation (RWJF) awarded OHCA a three-year, \$664,000 grant under the RWJF *State Initiatives in Health Care Reform* program. OHCA is the lead state agency for "ACHIEVE, a Connecticut Healthcare Initiative for Expansion, Value and Efficiency," a multi-agency collaboration designed to measure the success of efforts to expand health care access to uninsured children, to determine if the state has maximized the value of the health care it purchases, and to promote more efficient health care purchasing.

Savings to the health care delivery system of about \$9.7 million in annual operating costs and \$5.1 million in avoided capital costs were achieved through the CON process.

This year, OHCA became the first state agency to pilot and implement a computer information system that allows hospitals and other filing agencies to report required data into a live database over the Internet. OHCA simultaneously worked with legislators and the health care industry to eliminate a broad range of extraneous reports previously required by the agency.

The Hospital Budget System upgrade and reporting reductions have significantly streamlined hospitals' reporting requirements, enabling better data to be provided to OHCA in a quicker, more cost-effective manner.

The Consumer Information Service researched and responded to more than 1,000 inquiries from consumers on health care-related billing and access issues. Savings totaling more than \$20,000 were realized via negotiations on consumers' behalf with hospitals, diagnostic facilities, laboratories, private physicians, and other organizations.

Through a collaborative process with representatives of the health care industry and professional associations, OHCA revised and streamlined agency regulations and rules of practice reflective of the current health care environment and technological advances.

Following its publication of the Consumer Information pamphlet "*A Guide to Paying Your Hospital Bill*", available in both English and Spanish, OHCA created a computer-assisted slide presentation and accompanying booklet entitled "*A Resource Guide for the Savvy Health Care Consumer*." This presentation is available free of charge to all Connecticut organizations and professional groups.

OHCA was consistently successful throughout the year in achieving and maintaining full Y2K compliance status.

Reducing Waste

As the lead agency for ACHIEVE, the Robert Wood Johnson foundation three-year initiative, OHCA is coordinating grant activities with an Executive Steering Committee consisting of state agency heads and their designees. This interagency collaboration will have work groups for insurance expansion, purchasing strategies, and data integration that will permit the state to:

- Determine if it has maximized the value of the health care that it purchases,
- Promote more effective health care purchasing strategies to improve quality of care,
- Promote more efficient health care purchasing through data generated value-based purchasing strategies, and
- Measure the success of present efforts to expand access to uninsured children through analyzing the HUSKY program's outreach and enrollment strategies.

OHCA has verified Uncompensated Care Program sales and gross earnings tax receipts from its hospital data base for the Department of Revenue Services under an interagency agreement.

This year, OHCA proposed and enacted legislation to eliminate a broad range of extraneous reports required by hospitals, and significantly expanded areas where hospitals may use electronic filings to reduce the paper-filing burden on both hospitals and OHCA. OHCA also prepares public summary reports from hospital discount filings and monitors hospital revenues and revenue limits.

Strategic Planning

As the health care environment continues to evolve, the agency has made a strong commitment to provide value-added services and to change from solely a monitoring role to that of catalyst for effective change. By monitoring the state health care delivery system, OHCA is able to identify areas needing better coordination and to propose remedies. To function more effectively and efficiently OHCA reconfigured its internal structure and continues to deploy staff in more functional roles to enhance agency effectiveness. To monitor and insure the cost effectiveness of Connecticut's health care system, OHCA continues to:

- Take a comprehensive view of consumer health care concerns and needs;
- Initiate collaborations with industry providers, associations, and other representatives to promote a strong and responsive health care delivery system;
- Strengthen and encourage liaisons with other state agencies to promote data integration and sharing, and the streamlining of business processes;
- Examine the agency's processes to simplify and make them more responsive to current health care needs; and
- Assess the health care information needs of the consuming public, the Legislature, other agencies, the health care industry, and the insurance sector on an ongoing basis.

Information Reported as Required by State Statute

- Published in March, 1999, OHCA's *1998 Annual Report to the Governor and the General Assembly* more fully describes the evolving agency structure and unit responsibilities, agency achievements, objectives, and initiatives.
- OHCA prepared and received approval on its first agency-produced Affirmative Action Plan in February, 1999. This plan complies with Conn. Gen. Statutes' Secs. 46a-70 through 46a-78.
- *The Fourth Annual Report on the Financial Status of Connecticut's Short-term Acute Care General Hospitals*, issued in December, 1998, compares operating and financial data from FY 1997 and FY 1996. It also furnishes individual hospital financial and organizational profiles, provides an index that assesses the cost of inpatient hospital services at each hospital, and presents information about hospital discount arrangements and their aggregate effect on each hospital's financial condition.
- *Hospital Discharge Data Book*, published in November, 1998, employs aggregated, Connecticut specific discharge abstract and billing data from hospital fiscal years 1993 through 1997 to profile current trends and marketplace conditions that are characteristic of today's dynamic health care environment and reflect technological developments, health care service delivery changes and health care management shifts.
- The annual *Directory of Preferred Provider Networks*, contains each network's general description, business standing, contract name, responsible officers and owners, geographical service area, affiliated hospitals, and participating providers.
- OHCA maintains a registry of health care facilities which have sought exemption from CON review in accordance with Sec. 19a-639a, Conn. Gen. Statutes. Eligible facilities which fail to register annually remain subject to CON.

Board of Governors for Higher Education

At a Glance

VALERIE F. LEWIS,
Interim Commissioner
Established - 1983
Statutory authority - CGS Section
10a-6
Central office - 61 Woodland Street,
Hartford, CT 06105-2326
Average number of full-time
employees - 40
Recurring operating expenses -
Total System: \$492.1 million,
General Fund; Board of
Governors: \$38.8 million
Organizational structure - Academic
Affairs, Administration and Financial
Affairs



Mission

The Board of Governors' statutory mission, shared by the Department of Higher Education, is to: maintain standards of quality, ensuring a position of national leadership for Connecticut higher education institutions; assure the fullest possible use of available resources in public and independent colleges and universities; foster flexibility in the policies and institutions of higher education, enabling the system to respond to changes in the economy, society, technology, and student interests; apply the resources of higher education to the problems of society; provide learning and training opportunities related to the state's economic, cultural, and educational development; protect academic freedom; and ensure educational opportunity for all qualified persons, regardless of age, sex, ethnic background or social, physical or economic conditions.

Statutory Responsibility

The Board of Governors for Higher Education is the statewide coordinating and planning agency for Connecticut's 44 colleges and universities. The board is responsible primarily for policy-making for the state's public higher education institutions: the University of Connecticut, Connecticut State University, the 12 community-technical colleges and the Board for State Academic Awards (Charter Oak State College). The board also considers the state's 26 independent colleges and universities in college development.

The board has 11 members, seven of whom are appointed by the Governor and four who are named by the highest-ranked members of the General Assembly who are not members of the Governor's political party. As of July 1999, members were Alice V. Meyer, Easton, chair; Albert Vertefeuille, South Windham, vice-chair; James H. Bates, Lakeville; William A. Bevacqua, Trumbull; Dorothea E. Brennan, Fairfield; Lile R. Gibbons, Greenwich; Joan R. Kemler, West Hartford; Dorothy B. Leib, New London; Maria I. Mojica, New Haven; and Harry H. Penner, Guilford. One vacancy exists. The board has an advisory committee of 22 college representatives.

The Board of Governors' major statutory duties include review of public college operating and capital budget requests, licensure and accreditation of academic programs and institutions (public and independent), coordination of programs and services throughout the system, estab-

lishment of systemwide policies and guidelines, review and approval of institutional missions, and evaluation of institutional effectiveness.

Under the direction of the Commissioner of Higher Education, the Department of Higher Education carries out board policies and serves as its administrative arm. Among its major functions, the department conducts licensure and accreditation reviews, prepares systemwide operating and capital budget requests, administers student financial assistance and minority recruitment programs, maintains statewide data bases for budgeting and policy studies, prepares legislative proposals, monitors student attendance patterns, and oversees Connecticut's 60 private occupational schools.

The department carries out federal responsibilities as the State Approval Agency for programs enrolling veterans and as the state's lead agency for Americorps, the national service program. It also administers the higher education portion of the federal Dwight D. Eisenhower Professional Development Program.

Students and taxpayers are the chief beneficiaries of the agency's work to assure access, quality, and efficiency throughout the system. Legislators, federal and state policy-makers, colleges, business and community organizations, also benefit from the agency's unique role as a provider of objective and systemwide coordination and information.

Public Service

All of the agency's work is designed to meet the needs of its various constituencies since responsiveness to emerging trends is inherent to coordination and planning.

During its third year of operation, the department's website (www.ctdhe.commnet.edu) received 233,603 "hits." Through this site, the public may learn all about Connecticut higher education and may access listings of accredited college courses, student aid programs, and individual college homepages.

The department continued its more traditional means of broadening public awareness about college opportunities by distributing 70,000 college and student financial aid guides to students, parents, and guidance counselors.

In June, the department's Alternate Route to Certification program began its tenth year with 164 potential teachers drawn from fields outside of education. This program's success is measured largely by the job placement rate of its graduates, which averages 61 percent, compared to 35 percent in traditional teacher preparation programs.

With funds from the Connecticut Department of Labor, the department's Education & Employment Information Center (EEIC) steered 18,500 persons toward new career and training opportunities through its toll-free hotline, monthly workshops at Connecticut Works Centers, and visits to college and career fairs. Logs describing individual requests, correspondence from the public and workshop evaluations document high customer satisfaction with the EEIC.

The department continued its research and analytical work, issuing reports on enrollment, degrees conferred and remediation. A major study documented the growing costs of attending college in Connecticut. As many as one in four applicants for college aid cannot afford to attend a two-year college without help, and the state's four-year public colleges have become considerably less affordable and are among the most expensive in the nation.

The department joined other state agencies in various partnerships such as the state's "School to Career" initiative; Connecticut Works Centers; the Connecticut Employment and Training Commission; Connecticut Innovations, Inc.; and the Joint Committee on Educational Technology.

Improvements/Achievements 1998-99

The Department of Higher Education continued to make strides in helping Connecticut students with college costs. A supplemental \$2 million appropriation for the renamed Capitol Scholarship Program made 1,400 new student awards possible.

Working with the Governor and General Assembly, the department secured \$4 million more for student financial aid in its fiscal 1999-2000 appropriation, an increase of 14.7 percent. This includes \$3.2 million more for the Connecticut Aid to Public College Students Program and \$0.8 million more for the Connecticut Independent College Student Grant Program. As a result, the department anticipates a seven percent increase in the number of student recipients.

Overall, the \$524.4 million system-wide general fund budget for the upcoming year provides

\$7.3 million to freeze tuition for all public college students, except medical and dental school students, for the second year in a row. It also contains \$8.6 million for the Higher Education Matching Grant program that provides 1:2 state to private match for endowments made to public institutions for scholarships and programmatic enhancements. The Minority Teacher Incentive program received an additional \$160,000 for its second year.

On the capital side, progress to upgrade the University of Connecticut continued through the \$1 billion UConn2000 program. Similarly, \$258.1 million was authorized for the next two years to upgrade the four Connecticut State Universities, the 12 community-technical colleges, and the UConn Health Center.

Another accomplishment continues to be the growing representation of minority students in both college enrollment and degree attainment. In fall 1998, a total of 26,688 minorities attended Connecticut public and independent colleges, up 3.2 percent over 1997. The number of minority graduates in spring 1998 also broke records, with 3,842 degrees going to these students, up 2.7 percent over 1997.

This sustained progress is due to intense efforts by colleges spurred, in part, by the Board of Governors' statewide diversity plan emphasizing student retention and graduation. This year, the number of pre-college preparatory programs grew to 14.

In the area of academic planning and evaluation, the Board of Governors, based on the department's review, reaccredited 10 Connecticut colleges and universities. One new college was licensed to offer two-year degree programs, and one out-of-state institution gained approval to offer programs in Connecticut.

In addition, the board approved 52 new academic programs: four certificate programs, 22 associate programs, eight at the bachelor's level, 17 at the master's level and one doctoral program. Of these, 32 were new, with 13 at public colleges and 19 at the independents.

The board granted initial accreditation to six previously licensed programs, enabling them to graduate students for the first time, and approved 13 modifications to current programs. Responding to state economic needs, the board approved 18 programs in business, 12 programs in health-related fields, and 11 programs in engineering, computer science, and the natural and physical sciences.

Overseeing private occupational schools, the department approved nine new schools, reapproved 20 existing schools and addressed 25 complaints. Three schools closed voluntarily.

As the State Approving Agency for veterans' benefits, the department processed 126 applications for programs enrolling veterans, and conducted 64 supervisory visits to schools and colleges. A total of 109 facilities with 2,186 approved programs enrolled some 2,000 veterans a month.

With the Connecticut Commission on National and Community Service, the department helped ten state programs gain federal Americorps funds which allow students to pay off their college loans in return for community service. More than 600 Connecticut students participate in Americorps.

The Commission also awarded more than \$260,000 in Youth Mentoring Grants to 16 programs, resulting in 3,000 new mentoring relationships between adults and youths.

The Commission launched the Connecticut Literacy Initiative to serve pre-schoolers, and recruited 50 state employees to participate in Big Brothers Big Sisters.

Working with school and college representatives, the department awarded nearly \$400,000 for 11 projects under the federal Dwight D. Eisenhower Professional Development Program. More than 800 teachers and 45,450 students will benefit from workshops, field trips, and lab courses. Another \$200,000 was awarded to teacher professional development projects in the arts and humanities in a new collaboration involving the Connecticut Humanities Council and Connecticut Commission on the Arts.

Reducing Waste

Reducing waste and redundancy in government underlies all of the agency's work. Most of the agency's efforts are made in the form of recommendations to legislators, policy-makers, and colleges with whom ultimate decision-making authority rests.

This year, attention focused on developing performance measures to assess institutional, faculty, and student performance. The Performance Measures Task force appointed last summer agreed on statewide goals and selected performance indicators for each of the public systems.

Working closely with members of the General Assembly's Education Committee, the department obtained legislation specifically calling for performance measurement and development of recommended budgeting strategies to implement performance funding.

Concerned about unnecessary duplication, state higher education leaders agreed to an expanded array of undergraduate and graduate programs to be offered by the University of Connecticut's regional campuses, including its new Tri-Campus consisting of its Hartford, Waterbury, and Torrington sites. With this action, the board approved the mission, role, and scope of the University of Connecticut followed by similar action regarding Charter Oak State College.

The second phase of studying the costs of remedial education began. The department nearly succeeded in obtaining \$2 million for a Virtual Library to connect all public and academic libraries and permit consolidated purchasing of electronic journals at significant cost savings. The department will continue to seek legislative support for this initiative as well as others which capitalize on the use of technology to expand on-line learning and communications.

Strategic Planning

Following last year's work of the board's Public Agenda Advisory Council, the department adopted an action plan addressing five policy areas: mission and role distinctiveness, development of performance measures, assessment and recommendations for remediation, advances in technology-based learning, and focused support for economic development. Staff teams led work in each area.

Recognizing that the plan requires systemwide commitment, the department prepared a vision and mission statement for all of postsecondary education as well as a mission statement for the board. The action plan and mission statement guided the agency's work throughout the year.

Information Reported as Required by State Statute

The Department of Higher Education is required by state statute to monitor and report on enrollment and graduation trends.

Overall, 154,229 students attended Connecticut public and independent colleges and universities in fall 1998, virtually unchanged from the previous fall. Enrollment at state-supported institutions stood at 94,299, down 0.8 percent from 1997. Independent college enrollments remained stable, with 59,135 students. Traditional 18 to 24 year-old college students are appearing in growing numbers across the state's campuses but still not anywhere near their presence of a decade ago.

The latest graduation statistics show that Connecticut colleges and universities awarded 28,579 degrees in 1997-98, down 1.0 percent from the previous year. The decline mirrors enrollment trends. The five most popular disciplines were business management, education, health professions, social sciences and history, and the liberal arts.



Connecticut Historical Commission

At a Glance

JOHN W. SHANNAHAN, Director
Established - 1955
Statutory authority - CGS Sec. 10-321
Central office - 59 Prospect Street,
Hartford, CT 06106
Average number of full-time
employees - 19
Recurring operating
expenses - \$873,887
Capitol outlay - 0
Value of real property - \$2,988,434
Average number of inmates, students,
or patients - 0

Mission

Primary responsibility is to protect Connecticut's cultural resources (historic, architectural and archaeological), including commission-administered historic sites: Old New-Gate Prison, East Granby; Henry Whitfield Museum, Guilford; Sloane-Stanley Museum, Kent; Prudence Crandall Museum, Canterbury; Viets Tavern, East Granby; and Amos Bull House, Hartford. First four are open to public as museums.

Statutory Responsibility

Commission's customers for preserving state's heritage are both resident and visiting populations, with responsibilities facilitated by interaction with individuals; town governments; preservation and historical organizations; and local, state, and federal agencies.

Commission programs are historic site administration and:

- Statewide preservation planning;
- National/State Registers of Historic Places;
- Federal/state grants-in-aid;
- Federal/state environmental review;
- Certification of local governments as preservation partners;
- Local historic district/property designations;
- Archaeological preserve designations and archaeological permit issuance;
- Technical assistance on historic cemetery preservation;
- Technical funding assistance for cultural property owners;
- Federal tax credits for historic rehabilitation's;
- State Building Code and Americans with Disabilities Act;
- Lead paint abatement for historic structures;
- Connecticut African American Freedom Trail;
- Documentation and registration of sites associated with General Rochambeau's Revolutionary War Trail in Connecticut, 1781-1782.

As State Historic Preservation Officer, commission's director is Connecticut's preservation liaison with federal government.

Public Service

Exhibitions, visitation (including identification of audience groups), revenues, and maintenance all measure historic site administration. Contributing factors in 1998-1999 included:

- Store at Sloane-Stanley Museum, Kent, was enlarged for better public access and expanded sales inventory.
- Archaeological survey at Old New-Gate Prison and Copper Mine, East Granby, revealed subsurface 18th-century remains which will guide enhanced interpretation of site.
- Audiovideo equipment was upgraded at commission's museums to assist public's interpretation of displays.
- Admission fees were increased for first time in decade, providing funding to improve

public's museum experiences.

Performance measures for other preservation programs are mandated by U.S. Department of Interior to ensure federal grant-in-aid eligibility:

- Grants-in-aid to municipalities and nonprofits;
- Planning assistance to elected officials, town planners, and citizens through published management guides containing protection tools for heritage resources;
- Statewide Historic Resource Inventory (research database);
- Expedited review of proposed historic property demolitions (Conn. Gen. Statutes Sec. 22a-19a: Connecticut Environmental Protection Act);
- Public education/technical assistance (lectures, conferences, publications, including newsletter, tours).

Improvements/Achievements 1998-99

- Approximately three percent increase in attendance at commission's museums (highest growth in half-dozen years).
- Museum donations of (1) private funds and grants; (2) books valued at over \$47,000 to be sold at museums and profits used for their benefit; and (3) two Eric Sloane paintings for display at Sloane-Stanley Museum, Kent.
- Administration of 26 grant-in-aid projects for surveys, registration, and rehabilitation's.
- Phase II restoration of Lockkeeper's House (1828), Farmington Canal, Hamden (hazardous waste abatement and exterior restoration), utilizing commission capital funds and Intermodal Surface Transportation Efficiency Act (ISTEA) funds.
- Publication and broad distribution of:
- Statewide comprehensive preservation plan: *Historic Preservation in Connecticut: Planning a Future with a Past*;
- Eastern Coastal Slope context planning report (historical/architectural overview and management guide);
- Essay on Gutzon Borglum (1871-1941), sculptor of Mount Rushmore, South Dakota, and his career in Connecticut (included in catalogue issued by Stamford Art and Nature Center for its Borglum exhibition).
- Nomination of three locally designated historic districts and three new districts to National Register of Historic Places.
- Inventory/evaluation of Revolutionary War route of General Rochambeau's infantry across Connecticut, 1781-1782.
- Maintenance of electronic *User's Guide to Connecticut Historic Preservation Collection* in partnership with Thomas J. Dodd Research Center, University of Connecticut, Storrs.
- Research/photography for 13 new sites on Connecticut African American Freedom Trail to be included in revised Freedom Trail brochure (91 sites in 38 towns).
- Development of fully functional interactive web site promoting Connecticut African American Freedom Trail;
- Promotion of Connecticut Archaeology Awareness Week 1998 (annual archaeological heritage celebration).

Reducing Waste

High-tech solutions implemented to improve public access/staff efficiency include:

- Digitization of East Hartford historic survey for enhanced environmental review/resource management;
- With Office of State Archaeologist, continued development of Geographic Information System (GIS) for cultural resource management purposes.

Strategic Planning

Planning for performance improvement is based on state comprehensive preservation plan and on reports summarizing history/architecture of six context (geographic/thematic) regions (six counterpart archaeology reports are projected).

Goals are widely ranging activities to identify, register, protect, and interpret Connecticut's cultural resources.

Objectives include:

- Survey/protection of cultural resources through public/private grants-in-aid and direct commission sponsorship;
- National/State Register of Historic Places nominations;
- Review of local, state and federal construction activities to mitigate adverse impact on cultural resources;
- Certification of municipalities as preservation partners;
- Review of rehabilitation's to determine federal tax credits;
- Promotion of heritage tourism at commission museums;
- Documentation/promotion of Connecticut African American Freedom Trail and General Rochambeau Revolutionary War Trail;
- With Dr. John E. Rogers African American Cultural Center, Inc., Hartford, identification, documentation, and mapping of Underground Railroad sites associated with journey toward freedom of escaped slaves in antebellum era;
- Cosponsorship of publications and conferences to provide historical and planning information to professional constituencies/general public.

Information Reported as Required by State Statute

Partnerships continue with state agencies and others who impact cultural resources. For example, Connecticut Military Department (annual military history lecture and exhibition, with topic for 1999 being "Rochambeau in Connecticut: Tracing his Journey"); Connecticut Department of Transportation and Amistad Committee, New Haven (Freedom Trail Month, September 1999); Northeast Utilities (Connecticut Main Street Program); and Connecticut Gravestone Network (historic burial grounds).

Specific affirmative action activities include:

- Nondiscrimination provisions in grants contracts and manuals;
- Grants-in-aid which benefit minorities and disabled;
- Liaison with state's federally recognized Native American tribes and Native American Heritage Advisory Council;
- With Office of State Archaeologist, protection of Native American sacred sites and burials;
- Expansion of Connecticut African American Freedom Trail;
- National Register of Historic Places nominations for properties associated with elderly, minorities, and women:

Listed:

- Mary and Eliza Freeman Houses, Bridgeport (owned by African American women whose family was prominent in mid-nineteenth century "Little Liberia" community of free blacks);
- Jail Hill Historic District, Norwich (associated with African American antebellum abolition movement and establishment of Prudence Crandall School, Canterbury, as first academy for black girls in New England).
- Reduced admission for seniors at commission's museums.

Commission membership consists of 12 Governor-appointed citizens: *Kevin G. Ferrigno, Manchester, Chairman; Timothy R. Beeble, Bethel; Richard Buel, Jr., Essex; Christopher Collier, Orange; Katherine W. Green, Middletown; Barbara A. Hudson, Hartford; Richard L. Hughes, III, West Hartford; Harold D. Juli, Waterford; Jean Russell Kelley, Guilford; Edwin Richard Ledogar, Dayville; Marsha Lotstein, West Hartford; and Eve M. Potts, Essex.*

Connecticut Commission on Human Rights and Opportunities

At a Glance

CYNTHIA WATTS ELDER,

Executive Director

Jewel E. Brown, *Deputy Director of Enforcement Services*

Valeria Caldwell-Gaines, *Deputy Director of Diversity, Education and Economic Services*

Established - 1943

Statutory authority - CGS Chapter 814c

Central office - 21 Grand Street, Hartford, CT 06106

Average number of full-time employees - 100

Recurring operating expenses - \$5,866,692.72

Organizational structure - Administrative office and four regional offices

Mission

The mission of the Connecticut Commission on Human Rights and Opportunities is to eliminate discrimination through civil and human rights law enforcement and to establish equal opportunity and justice for all within the state through advocacy and education.



Statutory Responsibility

It is the statutory responsibility of the commission to: Enforce human rights laws to end illegal discrimination in employment, housing, public accommodations and credit transactions; monitor compliance with state contract compliance laws and with laws requiring affirmative action in state government; and establish equal opportunity and justice for all persons in Connecticut through education and Commission outreach activities.

Public Service

The Commission has four (4) regional offices located in Hartford, Waterbury, Bridgeport and Norwich, which receive and resolve cases from individuals who believe that they have suffered illegal discrimination. The Commission's administrative headquarters, also located in Hartford, houses the divisions of Diversity, Education, and Economic Services, Enforcement Services, Administrative Services, Legal Services and the Office of Public Hearings. The agency is governed by a nine-member policy making body. Five members of this Commission are appointed by the Governor and four by the Legislature. The Commission generally meets on a monthly basis. A Commission-appointed Executive Director who selects agency staff in accordance with the state merit system implements agency policy. The Executive Director also selects the Chief Human Rights Referee from among the seven (7) Human Rights Referees appointed by the Governor and confirmed by both houses of the General Assembly. The Commission analyzes its case processing methods by ascertaining timeliness, thoroughness, and effectiveness. An analysis of these standards is provided under the heading "Information Reported as Required by State Statute."

Improvements/Achievements 1998-99

- The Commission appointed a new Interim Executive Director, Cynthia Watts Elder, in March 1999.
- During fiscal 1998-99 the Commission's Enforcement Services Division received 2373 Complaint Affidavits and closed 2242 Cases, and awarded \$2,832,174 to victims of

discrimination.

- The Commission also closed 194 cases in the Office of Public Hearing, through settlements, hearing officer decisions on the merits or other means, awarding \$1,636,402 in compensation to victims of discrimination. The number of case closures at public hearing represents a decrease from the 216 cases closed last year at this time due in part to the transition from part-time hearing officers to full-time referees.
- Pursuant to Public Act 98-245, seven Human Rights Referees were appointed by the Governor to begin hearing cases in the Office of Public Hearings. The Referees began replacing the 41 part-time hearing officers in January 1999 and in their brief tenure have closed 99 cases.
- Commission staff conducted over 138 technical assistance meetings with Human Resources and Affirmative Action personnel from state agencies. Additionally Commission staff completed 26 technical assistance and compliance report reviews, while participating in special projects such as research for affirmative action reports.
- The Commission's Office of Education Programs planned and coordinated many aspects of an international conference. "Human Rights: A Global Challenge for the Next Millennium," presented by the International Association of Official Human Rights Agencies, from July 10-16, 1998. Education staff was responsible for program content, funding, hospitality, hotel arrangements, registration, youth awards, promotion, publicity and numerous other tasks associated with the conference.
- The Commission designed and produced a new bi-monthly agency newsletter, *The RightStuff*.
- Commission communication initiatives included the design and development of an agency website.
- During the fiscal year, members of the Special Enforcement Unit attended or participated in 3 national training conferences and one statewide conference. The Commission also developed a workshop entitled *Affirmative Purchasing*, presented in conjunction with the Department of Administrative Services (DAS) to state agencies. The workshop was designed to support the implementation by state agencies of their Small Contractor and Minority Business Enterprise Set-Aside Programs and their "good faith effort" purchasing outreach activities as required by C.G.S. Section 32-9e and 4a-60 respectively.
- The Commission released the following public reports during the fiscal year:
 - The 1998 Report on the Status of Contracting and Trade Opportunities for Minorities and Women in State Funded Construction projects. (August 1998)
 - An Annual Report to the Legislature on Minority and Women Business Enterprises in State Contracting – Fiscal Year 1997-98 (June 1999)

Reducing Waste

- During the 1998-99 fiscal year, the Commission continued efforts to upgrade all financial and administrative technology functions.

Strategic Planning

During fiscal year 1999, the Commission goals include the following:

- 1) *Administration and Policy Goal*: To strengthen, energize, and manage the agency for greater efficiency and effectiveness.
 - A. Promote an organizational climate that encourages positive morale and energizes staff and Commissioners.
 - B. Secure a funding level commensurate with quantified resources that will stabilize the economic environment of the Commission.
 - C. Create and establish the image and perception of the Commission as the situs of civil rights knowledge and expertise.
- 2) *Enforcement Goal*: To promote and protect the public interest in preventing and eliminating discrimination through enforcement of civil and human rights law in a just, equitable, and timely manner; and to establish the public hearing process as a forum where cases are processed fairly and expeditiously by independent, full-time Human Rights Referees.
 - A. Review and revise the Intake Process and Procedures in light of CHRO's needs

arising from complaint inventory and additional statutory requirements.

B. Establish an in-house committee to review CHRO's statutory scheme and correct inconsistencies.

C. Create a procedure and process during the field investigative period that will synchronize functions of staff, field operations division, and the General Counsel's division.

3) *Diversity, Education, and Economic Services Goal*: To promote equal opportunity and diversity through affirmative action strategies and to promote understanding of civil and human rights.

A. To aggressively promote equal opportunity in Connecticut in employment in state government, in the private sector, and with state government contractors in contracting dollars for Small and Minority and Women Business Enterprises (MBE/WBEs) and in State Service, Policies and Procedures and Programs.

B. To ensure equitable participation of protected class workers in the workforce of contractors in the state.

C. To insure that state government contracting is utilized as an economic development initiative for small state based contractors of minority/women owned business enterprises.

D. To broaden internal and external awareness, increase knowledge and promote understanding of the Connecticut Commission on Human Rights and Opportunities, civil and human rights, diversity issues and inter group relations.

Information Reported as Required by State Statute

Processing of Discrimination Complaints

Case processing begins at intake. Any individual who feels he or she is the victim of illegal discrimination may file a complaint with the commission. During fiscal 1998-99 the Commission received 2,375 Complaint Affidavits and closed 2,242 during the investigation stage, awarding \$477,851 to victims of discrimination.

Complaint Demographics

Of the 2,373 new complaint affidavits the Commission received in fiscal year 1998-99, 2,110 (89 percent) occurred in the area of employment discrimination. There were 123 complaints of housing discrimination; 113 complaints of public accommodation services; one credit discrimination complaint, and 26 complaint affidavits for other areas that included affirmative action, contract compliance, and criminal offender status. There were 148 discrimination complaints brought against state agencies this year.

Of the complaints filed in fiscal year 1998-99, discrimination on the basis of sex received the highest number of complaints (721). This was followed by race (659), color (580), age (530), physical disability (494), and national origin (225). Fiscal year 1998-99 also witnessed an increase in the number of complaints in several other protected areas as well: mental disability (77), mental disorder (63), religious creed (54), sexual orientation (44), marital status (49) learning disability (24).

Complaint Resolutions

- Of the 2,242 cases closed in fiscal year 1998-99, 300 were achieved as a result of Withdrawal with Settlement, 188 through Pre-Determination Conciliation, 194 through Public Hearing Closures, 244 through Release to Sue, and 98 through Administrative Dismissal. Because of these closures, the Enforcement Services Division awarded \$2,832,174 to victims of discrimination.
- There were 104 findings in which there was sufficient reasonable cause to believe that illegal discrimination had occurred. As of June 30, 1999 there were 1773 complaints awaiting processing through Field Operations.

Special Enforcement Unit

- The Commission's Special Enforcement Unit (SEU) investigates housing discrimination complaints and conducts reconsideration reviews of cases dismissed in the regions. The unit also assists the Office of the Attorney General in the litigation of housing cases.
- During the 1998-99 fiscal year the Special Enforcement Unit (SEU) received and processed 123 housing discrimination complaints and collected over \$54,250 on behalf of Complainants. The SEU also closed 82 cases, 20 of which involved Reasonable

Cause findings. Of the 82 cases closed, the 62 were achieved through No Reasonable Cause Dismissals, Conciliation Agreements, Withdrawal with and without Settlements, Administrative Dismissal, Satisfactorily Adjusted, Certified to Public Hearing.

- During the recent fiscal year, members of the Special Enforcement Unit attended or participated in three national training conferences and one statewide conference.
- The Commission also appealed to the Connecticut Supreme Court the issue of whether or not a Section VIII housing certificate falls under the definition of lawful source of income.

The Office of Public Hearing

- The Commission closed 194 cases during the public hearing process, through settlements, hearing officer decisions on the merits or other means. The number of case closures at public hearing represents a decrease from the 216 cases closed last year at this time due in part to the transition from part-time hearing officers to full-time referees.
- The Commission awarded \$1,636,402 in compensation and relief to victims of illegal discrimination in 1998-99, an increase from the \$1,422,430 awarded in 1997. Of the \$1.6 million awarded, \$1,468,222 (90 percent) was in back pay.

Office of Commission Counsel

The Office of Commission Counsel represents, advises and counsels the Commission, Director and appropriate executive staff with regard to legal matters and the legal implications of policy and management decisions. Counsel staff represents the Commission at public hearings and in state and federal court pursuant to Connecticut General Statutes 46a-55.

The repercussions of the Connecticut Supreme Court's decision in *Angelsea Productions, Inc. v. CHRO* continue to significantly impact the Commission and specifically the Office of Commission Counsel. Public Act 98-245, enacted in response to the *Angelsea* decision, dramatically impacted the Commission on Human Rights and Opportunities. That legislation provided that the Commission retains jurisdiction over a complaint even if a procedural timeframe is not achieved. It also provided for a release of jurisdiction in all cases and not just certain employment cases. A significant impact for the Commission scheduled to be appointed by October 1 and January 1, appointments were not made until the first quarter of calendar year 1999.

The arrival of the Human Rights Referees had significant impact on the public hearing process and on the Office of Commission Counsel. A significant positive impact was that the Referees were able to convene status conferences in nearly all of the cases pending at public hearing and issue scheduling orders to move cases forward. This should have a continuing positive impact on the elapsed time from the date of certification of the case to hearing to a final decision on the merits. The success of the Referees in moving cases more rapidly was tempered by the fact that, upon their arrival, they outnumbered the attorneys available to try cases. Three additional Assistant Commission Counsels have since been added to the Office of Commission Counsel.

The Office of Commission Counsel began the fiscal year with 207 cases pending in the public hearing process and an additional 120 cases were received during the fiscal year. 179 cases were closed during the fiscal year (including 15 remands to field operations). The Office of Commission Counsel closed the fiscal year with 148 cases in the hearing process. Assistant Commission Counsel attorneys conducted 72 days of hearings on the merits, 19 trial days on default cases and argued 25 motions on the record during the fiscal year. These attorneys attended 111 hearing conferences, 228 settlement conferences and 189 status conferences. They filed 37 full briefs, 179 motions and 68 objections. Discovery was propounded on 58 cases, objections to discovery were filed in 39 cases, motions to compel were filed in six cases and witness and exhibit lists were filed in 48 cases.

Remedies were paid in monetary relief for complainants in the amount of \$3,899,210.56. Examples of other non-monetary relief included the following: restoration of vacation time, removal of derogatory material from employees files, promotion with retroactive seniority, promotion to new position and training for employees.

The Office of Commission Counsel established a settlement unit. A primary reason for the development of two separate units, a settlement unit and a trial unit, was to address the large wave of cases that were brought forward to public hearing as a result of Public Act 96-241.

Although the vast majority of those cases have now been processed to completion, the proven success of the unit has resulted in a decision to continue a separate settlement unit. During Fiscal Year 1999, 106 complaints were assigned to the settlement unit. The settlement unit closed 80 complaints, 50 by settlement, 29 by release of jurisdiction and 1 case was withdrawn.

The appellate unit of the Office of Commission Counsel began the fiscal year with 49 cases pending in the state and federal courts. An additional 27 cases were filed during the fiscal year and 37 cases were closed leaving a total in progress at the end of the fiscal year of 39 cases were pending at the end of the fiscal year. Other cases pending at the end of the fiscal year included four cases in the federal courts, two housing cases pending decision by the Connecticut Supreme Court, two injunction actions and two other state court actions. The Office of Commission Counsel attorneys filed 20 briefs, 104 motions and nine objections during the fiscal year. They made 38 court arguments and 18 other court appearances. A total of \$2,500 in monetary relief was obtained for complainants.

SIGNIFICANT CASES

Angelsea Productions, Inc. v. CHRO, 248 Conn. 392 (1999)

This case stemmed from an appeal of a declaratory ruling of the CHRO determining that the failure of the agency to complete an investigation and hold a hearing within the statutory time periods found in CONN. GEN. STAT. (Rev. 1993) Court. The Supreme Court transferred the case to itself and answered the questions in favor of the Plaintiff, finding the time limits for CHRO action were mandatory and required the CHRO to dismiss complaints where the time limits were not met. Angelsea Productions, Inc. v. CHRO, 236 Conn. 681, 674 A.2d 1300 (1996) ("Angelsea I").

The Supreme Court then returned the case to the Superior Court.

Following the Supreme Court's opinion, the General Assembly enacted P.A. 96-241, now codified as C.G.S. § 46a-82b et seq., which restored the CHRO's jurisdiction over complaints where the CHRO failed to meet the deadlines imposed by C.G.S. §§ 46a-83(b) and 46a-84(b).

In the Superior Court, Plaintiff filed a motion for judgment, arguing that the Supreme Court's opinion required the Court to order the CHRO to dismiss the complaint. The CHRO filed a motion to dismiss, arguing that P.A. 96-241 rendered the appeal moot. The Superior Court (DiPentima, J.) denied Plaintiff's motion for judgment and granted the motion to dismiss. Plaintiff appealed to the Appellate Court, arguing that P.A. 96-241 (1) did not give the commission jurisdiction to proceed with a public hearing; (2) was unconstitutional because it abrogates the plaintiff's vested rights in the time limitations set forth in C.G.S. §§ 46a-83(b) and 46a-84(b); and (3) violated the doctrine of separation of powers. The appeal was transferred to the Supreme Court, which sustained the validity of P.A. 96-241.

First, the Supreme Court held that the complaint at issue was still pending before the CHRO, within the meaning of P.A. 96-241, § 1(a), even after the court's decision in Angelsea I, since the "complaint had not been finally adjudicated or resolved by action of the commission." Based on the plain language and legislative history of P.A. 96-241, the Court found it would contravene the express intent of the legislature to deny the CHRO's jurisdiction over a case which had not been fully adjudicated.

Second, the Court rejected Plaintiff's claim that P.A. 96-241 unconstitutionally deprived it of due process by abrogating its vested rights in the time limitations for the CHRO to act. The Court noted that the statutes governing the adjudication of employment discrimination claims do not provide any party, either a complainant or respondent, with a constitutionally protected interest in having the suit resolved by a court, rather than the CHRO. P.A. 96-241 did not affect the substantive rights that give rise to an employment discrimination claim, only the forum in which those issues would be resolved. As a result, it could not be said that applying P.A. 96-241 in this case would violate plaintiff's constitutional rights.

Last, the Court did not address Plaintiff's claim that P.A. 96-241 violated the doctrine of separation of powers, as the Plaintiff conceded at oral argument that the Complainant's complaint was still pending before the CHRO on the date that P.A. 96-241 took effect.

Commission on Human Rights and Opportunities ex rel. Hanson and Roper v. Sullivan Associates, et. al. S.C. 16042

This is a consolidated case, which began as two complaints against the same landlord. The issue presented is whether or not the landlord denied the two Complainants housing rentals because of their lawful source of income - Section 8 rental subsidies. Following findings of reasonable cause, the landlord elected to have the cases tried in Superior Court, rather than a Public Hearing. On June 8, 1998, the Superior Court held that, while C.G.S. § 46a-64c did prohibit a landlord from discriminating against Section 8 recipients because of that assistance, the statute did not require that a landlord sign a Section 8 Section 8 lease addendum, which is required by HUD in all Section 8 rentals. The Commission filed an appeal with the Appellate Court on June 29, 1998. On November 17, 1998, the Supreme Court transferred the appeal to its own docket. The case was argued, before the Supreme Court, on June 1, 1999. A decision is expected within the next few weeks.

Commission on Human Rights and Opportunities v. Coastal Energy, Inc.

Case No: 9860001

This was a Commission initiated complaint, filed on September 11, 1997. It stemmed from findings of our Contract Compliance Unit that the Respondent had failed to live up to its affirmative action obligations, which were set forth in its bid for work on a construction project with the City of New Britain. The Respondent was awarded the contract, in part based on its representations regarding the use of Minority Business Enterprises. The complaint was investigated by the Special Investigations Unit; a finding of Reasonable Cause was made on August 12, 1998. Thereafter the parties engaged in extensive conciliation efforts, and an agreement was signed, resulting in a dismissal of the complaint as satisfactorily adjusted on April 9, 1999. The conciliation agreement requires the Respondent, for a period of two years, to consult with the Commission at two week intervals, regarding its implementation of affirmative action commitments made in any public works contract, or any contract to which the State or instrumentality thereof, is a party, that the Respondent is awarded. The agreement also provided full financial compensation, measured by lost profits, to the minority business enterprise that the Respondent had represented it would use in its initial bid.

LEGISLATION

Public Act 99-233:

This public act established a task force to develop a plan to implement the transfer of enforcement responsibilities for the state's Set-Aside program to the Commission on Human Rights and Opportunities (CHRO) and the Department of Administrative Services (DAS) from the Department of Economic and Community Development. Required elements of the plan include: 1) division of responsibility between CHRO and DAS; 2) an outline of resources necessary to automate agency goal reports and enforcement information; 3) develop the staffing needs required for each agency to implement the program; 4) provide a summary of statutory changes necessary to implement the transition; and 5) provide a plan to coordinate enforcement policies between the agencies. This plan is to be developed by September 1, 1999 and submitted to the Office of Policy and Management and the Planning and Development Committee of the General Assembly.

The act also provides authority for the CHRO to conditionally approve affirmative action plans of Connecticut State Agencies submitted pursuant to C.G.S. §46a-68. Previously, the Commission only had the authority to either approve or disapprove an agency's affirmative action plan.

Public Act 99-180:

This is an act concerning diversity training for state employees. This act amends Section C.G.S. §462-54 by adding a new subdivision (16) which requires each agency to provide a minimum of three hours of diversity training and education to all supervisors and non-supervisory employees no later than January 1, 2001. State agencies are also to provide this training to supervisor and non-supervisory employees no later than six months after the assumption of a position with the State of Connecticut. The act specifies the various elements to be included in the training program and requires each agency to submit an annual report to CHRO. The Commissioner of DAS, before February 1, 2000, is required to develop a standardized diversity training program to be used by each agency to comply with the act. This training program is to be developed with the advice and assistance of CHRO.

Division of Diversity, Education and Economic Services

Office of Diversity Programs

The Office of Diversity Programs evaluates state agencies' affirmative action plans, and provides training and technical assistance to aid them in plan development and implementation. The office also develops and implements the Commission's affirmative action plan.

During the 1998-99 fiscal year the affirmative action plans of 75 state agencies were submitted to the Commission, reviewed and approved. Four plans were disapproved. There were two conditional approvals. One certificate of non-compliance was issued and later rescinded upon completion of a negotiated compliance agreement.

Commission staff conducted over 138 technical assistance meetings with Human Resources and Affirmative Action personnel from state agencies. Additionally Commission staff completed 26 technical assistance and compliance report reviews, while participating in special projects such as research for affirmative action reports.

Office of Economic Programs

- During the 1998-99 fiscal year 75 construction contractor affirmative action plans as required by Connecticut General Statutes (C.G.S.) Section 46a-68d were received. Of the 75 cases, 69 have been recommended for approval and six remain pending.
- During the past fiscal year, 53 "public works contracts" were reported to the Commission as being awarded for a total value of \$138,157,894. Of those total dollars, \$42,558,667 (30.8 percent) were reported as being awarded at the subcontract level to state certified small contractors and minority business enterprises pursuant to C.G.S. Section 32-9e. Included within the small contractor (SBE) and minority business enterprise award total was \$17,488,437 (12.6 percent of total awards) for minority business enterprises (MBE/WBE/DIS).
- At the end of the 1998-99 fiscal year, 99 state "public works contracts" for which affirmative action plans were approved by the Commission were reported to be underway. To monitor affirmative action performance, project contractors were required to submit to the Commission and the contract awarding agency the following reports: (1) a monthly on-site Employment Utilization Report regarding minority and female trade worker participation; and (2), a quarterly Small Contractor and Minority Business Enterprise Payment Status Report for the small contractors and minority business enterprises identified to participate on each project.
- During the 1998-99 fiscal year, technical assistance meetings were conducted with 28 state agencies to discuss contract compliance program activities which are reported in their annual affirmative action plan submittals to the commission.
- The Commission additionally developed a workshop entitled *Affirmative Purchasing*, presented in conjunction with the Department of Administrative Services (DAS) to state agencies. The workshop was designed to support the implementation by state agencies of their Small Contractor and Minority Business Enterprise Set-Aside Programs and their "good faith effort" purchasing outreach activities as required by C.G.S. Section 32-9e and 4a-60 respectively.
- Connecticut General Statutes (C.G.A) Section 46a-56(a)(2) & 6 require that the Commission compile "facts concerning discrimination in employment, violations of civil liberties, and state contracts with female and minority business enterprises..." Pursuant to that responsibility, the Commission released the following public reports during the fiscal year.

1). 1998 Report on the Status of Contracting and Trade Opportunities for Minorities and Women in State Funded Construction projects. (August 1998)

2). Annual Report to the Legislature on Minority and Women Business Enterprises in State Contracting – Fiscal Year 1997-98 (June 1999)

Office of Education Programs

Recognizing that community outreach, education, and prevention are critical to identifying and eradicating discrimination, the Commission in 1998-99 continued to improve its contract with and service to its constituencies. Staff members from the Commission's Office of Education Programs spearheaded a variety of initiatives designed to promote understanding of human rights, diversity issues, and inter group relations throughout the State:

- The Commission's Office of Education Programs planned and coordinated many aspects of an international conference, "Human Rights: A Global Challenge for the Next Millennium," presented by the International Association of Official Human Rights Agencies, from July 10-16, 1998. Education staff was responsible for program content, funding, hospitality, hotel arrangements, registration, youth awards, promotion, publicity and numerous other tasks associated with the conference.
 - The Commission's Office of Education Programs presented the fifth annual Roger Sherman Awards during an inspirational and entertaining program entitled "Dream Vision."
 - The Commission serves as secretariat for the Connecticut Martin Luther King Jr. Holiday Commission. The MLK Commission presented the thirteenth annual bell ringing ceremony at the State Capitol, the official ceremony commemorating the birthday of Dr. Martin Luther King, Jr. The MLK Commission also has an active youth outreach initiative. During the past fiscal year the MLK Commission presented a state-wide youth conference entitled "Connecticut's Youth...Looking for Answers.", offering high school students the opportunity to attend workshops addressing important issues such as teenage pregnancy, race relations, and cultural diversity as well as drugs, gangs, and violence.
 - The "Connecticut Kids Court" competition offered youth an opportunity to explore human rights issues through writing and debating at the high school level and TV news reporting at the junior high level. This year's Connecticut Kids Court competition was preceded by "Kidspeak," an interactive forum on educational inclusion issues, jointly sponsored by the Commission's Office of Education Programs and the Office of Protection and Advocacy.
 - The Office of Education Programs produced a new bi-monthly agency newsletter, The RightStuff.
 - New Education Programs communication initiatives included the design and development of a website.
 - In response to requests by various organizations, the Office of Education Programs, through the Speakers Bureau, provided speakers to address numerous human rights topics.
 - The agency's annual meeting and employee awards luncheon were planned and organized by education staff.
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Department of Information Technology

At a Glance

GREGG R. ROCK REGAN,
Chief Information Officer
Established - 1997
Statutory authority - CGS P.A. 97-9,
June 18 Special Session
Central office - 340 Capitol Avenue,
Hartford, CT 06106
Number of employees -
General Fund (20)
Revolving Fund (159)
Recurring operating expenses -
General Fund - \$2.3 million
Technical Services Revolving
Fund - \$52.1 million
Organizational structure - Division of
Administration Division of IT Architec-
ture & Planning Division of Technical
Services Year 2000 Program Office.

Mission

- *Make the State of Connecticut a leader in the effective use of technology to improve government operations and provide better services to taxpayers.*
- *Build a statewide information infrastructure for state agencies and citizens*
- *Consolidate technologies and IT Services*
- *Direct the development of IT systems to meet the common business and technology needs of multiple state agencies*

Statutory Responsibility

Division of Administration

- Responsible for personnel, IT procurement, Revolving Fund business office, IT Training, internal and external communications.
- Division of IT Architecture & Planning
- Responsible for processes and documents used in statewide IT planning, development of IT architecture for statewide IT infrastructure, development of statewide IT standards and policies, overseeing agency IT planning and compliance with state standards.

Division of Technical Services

- Responsible for providing core computers, telecommunications, and networking services to state agencies.

Year 2000 Program Office

- Responsible for overseeing state agency efforts to manage resolution of Y2K related issues. Provide staff support to Governor's Committee on Year 2000 Readiness and public information.

Improvements/Achievements 1998-99

Division of Administration

- Developing blueprint for agency modernization initiative and better service plans for state agency clients.
- Established Communications Office to facilitate greater communication with employees and external audiences.
- Developing and executing public information campaign on Year 2000 awareness.
- Processed \$133.6 million (1379) requisitions, nearly double the average for past years.
- OPM audit of Telecommunication's vendor payments reflected substantially less than 1% annual error rate.
- Completed the contract for the State Police Radio System – a \$50 million contract for

new radio technology, voice and data at the disposal of the State Police.

- Will generate savings in excess of \$3 million over the next 5 years for maintenance and support from one contract.
- During Fiscal Year 1999 \$1.5 million worth of training services, from more than 50 different vendors, was provided to state agency or municipal clients. This represented savings of over half a million dollars.
- Deployed a client based Windows application, which allows direct access to information in a centralized historical purchase order database.
- Streamlined Technical Services Revolving Fund billing system on a release that is Y2K compliant.

IT Architecture and Planning

- Focus on long-term strategic planning for IT architecture.
- Published "State of Connecticut Strategic Plan for Information Technology" with strategic direction, goals, and the target IT architecture for the state.
- Utilized research advisory services to further define enterprise-wide infrastructure architecture.
- Provide planning assistance in expanding use of new and better technologies to:
- OPM and other state agencies participating in the e-government initiative.
- DPS in development and implementation of the Internet-based Sex Offender Registry
- DOL to define requirements for Case Management Information System for the Welfare to Work initiative.
- OPM and participating Criminal Justice System agencies, defining requirements for the Offender Based Tracking System.
- Developing statewide master contract for document management and workflow products and tools.
- Provided project planning direction for all agency procurements; developed and implemented a database for tracking such project documentation and associated procurement requests.
- Continued development of the software policy manual for the State of Connecticut in cooperation with the Office of the Comptroller.
- Developing plans for better use of Internet and project planning.
- Established new team with special focus on new web-enabled technologies.
- Coordinated activities of and participated in standards subcommittee Network Security and Internet Applications.
- Implemented Intranet website for State IT Policies, Standards, and Guidelines. <http://www.doit.state.ct.us/itpolicy/>
- Drafted and published for comment website hosting policy, relational database management system standards and policy, and the freedom of information policy.
- Continued development of the Intranet site to assist agencies in project planning and implementation. <http://www.doit.state.ct.us/ITAP/>
- Continued work with the Freedom of Information Commission staff on development of Information Policy for state agencies.

Division of Technical Services

- Expanding use of new and better technologies
- Expanded use of Asynchronous Transfer Mode (ATM) Technology in state government, including Department of Corrections, Department of Transportation, and Secretary of State.
- Increasing utilization of Internet and new technology to improve government
- AT&T awarded state contract as Internet services provider
- Connecting cities and towns in Connecticut to the State Enterprise Network
- Virtual Private Network (VPN) Technology implemented at 32 private Connecticut hospitals for the Office of Health Care Access. Enables hospitals to connect to the state via Internet. VPN also being used by telecommuters.
- Converting Public Safety network to frame relay. The police departments in these towns are now sharing information and using police car MDTs to extract information

- on the individuals they pull over.
- DAS/Fleet network converted to frame relay.

Improving Network Management

- New network management system Tivoli, installed, to ensure swift response from on-call employees.

Improving Security

- Intrusion detection pilot established.
- Network Security Policy issued to all state managers.
- New ISS scanning tool procured to enable DOIT to test and securing host vulnerabilities.

Year 2000 Program Office

In February of 1999, Governor Rowland established a Year 2000 Readiness Committee headed by Major General David W. Gay to develop a Y2K contingency plan to ensure public health and safety of citizens is protected. DOIT is currently assisting in outreach efforts and emergency planning efforts being coordinated by General Gay.

Working closely with Y2K coordinators from over 70 state agencies over the past year, DOIT has:

- Transferred over \$80 million in actual funding to 35 state agencies.
- Completed assessment of personal computer and network hardware and software at state agencies covering an estimated 52,000 PCs in state agencies.
- Initiated a monthly progress reporting system for 37 of the largest state agencies. Currently showing 95% of agency mission critical systems converted, and 93% tested
- Expanded the list of certified Y2K vendors to 40 and held a second vendor exposition day in April, 1999
- Supported legislation authorizing towns to use LOCIP (Local Capital Improvement Program) funds for Y2K expenses.
- Offered technical assistance to towns and cities through phone calls, visits and sponsoring their attendance at Y2K Training Workshops offered by CONN/STEP. Thirty-five towns and regional school districts have participated.
- Completed 23 second round agency certification visits focusing on documentation of completed Y2K system remediation activities.

Key activities for FY 1999-2000 include:

- Finishing the second and third rounds of agency certification visits.
 - Accelerating outreach plans and materials for citizens and communities.
 - Holding regular media briefings on Y2K to assist in citizen education on Y2K.
 - Developing and maintaining a citizen's Y2K website at <http://www.y2k.state.ct.us>
 - Coordinating agency contingency planning efforts with the requirements of the State Y2K Emergency Response Plan issued by the Office of Emergency Management.
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Insurance Department

At a Glance

GEORGE M. REIDER, Jr.,
Commissioner
William J. Gilligan, Deputy Commissioner
Established - 1865
Insurance Department Established - 1871
Statutory authority - CGS Title 38a
Office mailing address - P.O. Box 816,
Hartford, CT 06142-0816
Office location - 153 Market Street,
11th Floor, Hartford, CT 06106
Number of employees - 167
Recurring operating expenses - \$14,824,855
Organizational structure - Administration
Division; Computer Systems Support;
Consumer Affairs Division; Examination
Division; Legal Division; Licensing and
Investigation Division; Life and Health
Division; Market Conduct Division;
Property and Casualty Division

Mission

It is the mission of the Insurance Department to protect the consumer by administering and enforcing the insurance laws to ensure the financial reliability and responsibility of all regulated entities in the most responsive and cost-effective manner.

Statutory Responsibility

The insurance statutes administered by the Insurance Department are set forth in Title 38a of the Connecticut General Statutes, divided into 28 chapters, each addressing a separate area of insurance regulation and insurance-related entities and products.

Public Service

The Actuarial Division provides actuarial resources and related services to the commissioner and the other divisions of the Insurance Department. The actuarial staff participates in the analysis of the financial statements and other information required to be filed by statute, and in on-site examinations of insurance companies to insure the ongoing solvency of these entities. The actuaries are also responsible for examining the policies and rates filed for all life, health, and property/casualty insurance companies to ensure compliance with Connecticut statutory requirements.

The Computer Services Support Unit provides data processing assistance to the Department including the design, development, and programming of information systems. The Unit's support personnel research, tests, and install all hardware and software equipment.

The Consumer Affairs Division receives, reviews, and responds to complaints and inquiries from state residents concerning insurance related problems. During Fiscal Year 1998-99, 470 formal complaints or inquiries were logged into the Division's computer database. In that same period, 8,170 complaints or inquiries were addressed and closed.

Furthermore, the Division responded to 6,000 requests for informational pamphlets and booklets. The Division published two lists ranking insurance companies by comparing the number of complaints related to the premium dollars; one ranks automobile insurers and the other ranks health insurers. The Division conducts a number of outreach programs designed to listen to and respond to consumer concerns. During Fiscal Year 1998-99, the Division's outreach representative spoke to more than 2,500 Connecticut residents and distributed more than 1,500 pamphlets.

The Examination Division monitors the financial condition of domestic and foreign companies, health care centers, and fraternal benefit societies authorized to do business in Connecticut. Financial statements and other information required to be filed by statute are analyzed, and

on-site examinations are conducted to ensure that the entities remain solvent and capable of meeting their contractual obligations to policyholders and claimants. The analytical staff accesses financial information directly from the National Association of Insurance Commissioners' (NAIC) database and in many instances, the examination staff can electronically access company data files to perform substantive testing. A priority based approach to analysis and examinations provides a timely identification of potential solvency concerns, facilitating earlier regulatory intervention.

The Legal Division directs the receivership and guaranty fund activity of the Insurance Department, and provides legal advice and related services to the commissioner and the six divisions of the Insurance Department on a broad spectrum of issues that arise in regulating the insurance industry. The legal staff also drafts, monitors, and analyzes legislation; drafts and promulgates regulations; and participates in department hearings involving rates, license enforcement, and acquisitions of domestic insurance companies.

The Licensing Division is responsible for licensing insurance professionals to ensure that individuals and organizations that sell insurance products, provide insurance consulting service, or adjust insurance claims in Connecticut are qualified to do so. This is accomplished by developing and maintaining up-to-date education standards for all licensees and issuing and renewing licenses to qualified applicants. During Fiscal Year 1998-99, the licensing Division made licensing application forms available for prospective licensees on the Department's website. These applications are now also accessible throughout the Connecticut Licensing Information System. The Licensing Division also developed a system to expedite the processing of appointments of agents by insurance companies in order to make products available to the public on a more timely basis.

The Life and Health Division reviews policy and rate filings for all life and health insurance products to ensure compliance with Connecticut General Statutes and regulations. The Division oversees the external appeals process and the expedited review process for managed care organizations, licenses utilization review companies, and publishes a managed care report card. The Division provides technical assistance to the Consumer Affairs Division, the legislature and other governmental agencies on life and health issues. Lists of carriers offering Medicare supplements, long-term care, small employer group health, individual health and HMO policies are compiled and published by the Division. The Division works with the Legal Division to promulgate regulations and take enforcement action against carriers regarding non-compliance issues.

The Market Conduct Division conducts examinations of insurance companies, health care centers, fraternal benefit societies, and medical utilization review companies doing business in Connecticut to analyze the treatment of Connecticut policyholders and claimants. Additionally, to provide further protection to the insurance consumer, alleged infractions of licensing laws by individuals or organizations are investigated and administrative action is taken as warranted. A newly established Anti-Fraud/Arson Program promotes the prevention, detection, and reporting of insurance fraud. This program conducts consumer outreach and training, aiding the public to recognize, avoid and report insurance fraud. Additionally, the program provides assistance to state and federal law enforcement and insurance company fraud investigators, including assistance concerning investigations of health insurance fraud, pursuant to Public Act 93-430.

The primary responsibility of the Property Casualty Division is examining property and casualty insurance rates, rules, policy forms, and underwriting guidelines to ensure that the insurance products sold in Connecticut by licensed carriers comply with Connecticut statutory requirements. This is accomplished through review, analysis, oversight, and approval of insurance company programs covering home and automobile insurance; business property and liability; medical, legal, and other professional liability; and workers' compensation insurance. The Division oversees the operation of assigned risk plans for automobile, property and workers' compensation insurance. The Division provides technical assistance to the Consumer Affairs Division of the Department, the legislature and other state agencies on property and casualty issues. The Property and Casualty Division publishes homeowners and automobile premium comparisons, reports on the commercial insurance market, and information on rate filing activity.

Improvements/Achievements 1998-99

The Department expanded its actuarial resources during the fiscal year through the establishment of a Chief Actuary position to lead the Actuarial Division. This addition will significantly impact the overall quality and focus of the actuarial services provided to the Department, insuring that the necessary resources and skills are available to accomplish the mission of the Department and the objectives of the various divisions.

The Computer Services Support Unit of the Administration Division has expanded the Microsoft NT network and the migration from Windows 3.1 to Windows 98 is approximately 75 percent complete. Both the network operating system and the legacy OS are now Year 2000 compliant. A Lotus Notes System for the State Electronics Rates and Forms Filing (SERFF) project and a Microsoft Exchange Mail system have both been implemented and the migration of the client systems to Outlook is in progress. New servers, housing an Oracle database to support our new application system, have been purchased. The project to migrate off of our legacy system to an open system environment is in the design phase and is progressing well. Our agency's website continues to be an effective outreach tool and we continue to add more consumer information.

During the fall of 1998, 7,000 seniors in certain Connecticut counties were faced with the loss of their Medicare Risk coverage. Members of the Consumer Affairs Division coordinated information with CHOICES counselors and the Health Care Financing Administration of the Federal Government, and then met with senior groups in New London, Windham, Middlesex, and Tolland counties to educate them on the options available to them. The Division's medical/social outreach program, under the direction of its Utilization Review Nurse, undertook educating the medical community on insurance matters, reviewing complaint files involving medical necessity, and representing the Insurance Department on a number of committees including Birth to Three, Children with Special Health Care Needs, the Diabetes Educational Committee, the Husky Plan, and the Connecticut Medicaid Care Council. During the Fiscal Year 1998-99, the Division's nurse reviewed 700 complaint files regarding medical necessity.

The Insurance Department received a full five-year re-accreditation from the National Association of Insurance Commissioners (NAIC) in March of 1999. The Financial Regulation Standards and Accreditation Program was developed by the NAIC to strengthen solvency oversight. The Examination Division with the assistance of the Legal Division worked diligently to attain this important designation. Maintaining NAIC accreditation is a priority with respect to the adequate statutory and administrative authority to regulate the financial condition and corporate affairs of insurance companies, the resources necessary to carry out the authority and an organizational structure to promote effective solvency regulation. The high volume of merger and acquisition activity involving domestic entities continued during Fiscal year 1998-99 requiring detailed review, analysis and recommendations from the Examination Division.

The Legal Division during Fiscal Year 1998-99 promulgated three regulations; assisted Department divisions in 77 administrative enforcement proceedings or stipulated settlements that resulted in the assessment of \$2,026,616 in fines and penalties; assisted with 33 insurance rate hearings; and participated in 7 hearings under the Connecticut Insurance Holding Company Act regarding the merger or the acquisition of control of a Connecticut domiciled insurer.

The Licensing Division has maintained the seven to ten day turnaround time for issuing new producer licenses and company appointments. During Fiscal Year 1998-99, the Licensing Division redesigned all license application forms for clarity and uniformity. The redesign makes the forms more user-friendly, reduces rejections, and reduces paperwork. The Division now participates in the NAIC Producer Database, along with 23 other states. The database makes information on producers and their license status more readily available to insurance companies and other regulators. The Division also initiated changes to the Bail Bond Regulations to reduce paperwork and eliminate redundant requirements.

The Life and Health Division published the first edition of the managed care report card, "A Comparison of Managed Care Organizations in Connecticut", in October 1998, five months ahead of schedule. Surveys have been sent out to managed care organizations to collect data for the 1999 edition of the report card. A Request for Proposal has been sent out to independent medical review entities for contract proposals to review the external appeals for the 2000 calendar year. In 1998, 39 applications for external appeal were filed, and an additional 14 were filed through June of 1999. Licenses were issued or renewed to 130 utilization review companies.

The Life and Health Division processed 4,145 submissions, which included approximately 1,250 rate and form filings. One investigation of non-compliance was completed, resulting in a fine of \$15,000. On March 1, 1999, the Life and Health Division prepared a report that was submitted to the governor and to the General Assembly regarding the Commissioner's responsibilities regarding managed care organizations. This report included a summary of quality assurance plans, potential modifications to the consumer report card, market conduct activity, a summary of complaints filed with the Department, a summary of violations, and a summary of issues discussed regarding managed care at public forums. On June 1, 1999, it was also reported to the Governor and the General Assembly that no managed care organized failed to file any data as required by PA 97-99.

The Market Conduct Division's utilization review compliance program examined the functions of companies licensed by the Insurance Department to perform utilization review determinations. Utilization review companies provide guidance to health insurers and health care plans concerning the appropriateness of medical care and services and the related payment by the insurers and health care plans. The objective of the Division's program is to protect the rights of health plan participants by determining if the companies licensed to perform utilization review are operating in compliance with the Connecticut General Statutes and other applicable regulations. The program gathered and reviewed data on all licensed companies, and performed on-site compliance examinations. As warranted, the Insurance Department took action in accordance with the statutory powers granted to the Insurance Commissioner, to impose appropriate administrative action where exceptions to compliance were determined.

The Property and Casualty Division represented the Department on National Association of Insurance Commissioner's (NAIC) committee studying workers' compensation insurance issues, subgroups studying issues related to the Year 2000, and the Catastrophe Working Group. The Division developed insurance price information and comparisons for auto insurance on the Department's Internet home page. The Division approved overall workers' compensation rate decreases for employers in the voluntary and assigned risk markets in Connecticut. With costs to state employers conservatively estimated at \$450 million a year, these rate filings amounted to a 7.8 percent reduction overall. The Division examined and acted on 4,375 insurance program filings of rates, rules, and forms, which represented an 11.2 percent increase over the prior year. Within 60 days of receipt, 81.2 percent of the filings were resolved.

Reducing Waste

The Insurance Department has undertaken a functional review of the operation of the Business Office. The goal of this review is to identify areas for achieving improved efficiencies and productivity through the increased use of automation and modification of existing workflow.

The Computer Support Services Unit addressed year 2000 compliance by upgrading PCs and Operating Systems, replacing older technology and testing COBOL code. The Unit has installed a Network Management system for more efficient use of space and continues to research technology that will make our Information Technology system more current and efficient.

The Consumer Affairs Division established a cooperative work schedule with the Department of Social Services to coordinate outreach activities for Medicare beneficiaries. This coordination avoids duplication of efforts.

The Examination Division's operations are centered on monitoring the financial condition of insurers. The automation of the analytical and examination processes, the use of risk based approach in both areas, and the implementation of a priority-based examination scheduling system have enabled the Division to complete its core regulatory responsibilities in a timely accurate manner.

The Licensing Division has taken several steps to make Connecticut's licensing process more efficient and less redundant. During Fiscal Year 1998-99, the Division eliminated the need to temporarily cancel Connecticut licenses for licensees who are moving out of state but choose to retain their Connecticut license. The requirement for out of state firms to submit a Letters of Certification when applying for a license was eliminated and requirements restricting out-of-state residents from becoming licensed in Connecticut were removed.

The Property and Casualty Division is participating in the NAIC's electronic rate and form filing project (SERFF), which is anticipated to reduce paper movement and increase the Division's efficiency and effectiveness in program reviews.

Strategic Planning

The Strategic Business Planning Committee completed the Business Plan in 1998. In the spring of 1999, the plan was reviewed and updated to address current issues.

The Migration Subcommittee of the Information Technology Advisory Committee has been meeting on regular basis and has appointed a project manager for the migration from a legacy to an open system. The project manager has contracted with UConn to help in the design of the database and presentation layer of the system.

The Examination Division has implemented initiatives to monitor domestic insurers' plans to accommodate Year 2000 system constraints which impact financial reporting.

In order to process an anticipated 60,000 biennial producer licenses renewals in January 2000, together with tracking for the first time the requirement for satisfactory completion of 24 hours of continuing education courses for each producer, the Licensing Division is developing system and procedural changes. These changes will increase the efficiency of renewal processing and further reduce the need for temporary employees and overtime.

The Property and Casualty Division is modifying its program review procedures in response to the competitive marketplace and the electronic filing processing. The division is updating its procedures to respond to new methods of rate making and the increased use of computer modeling for catastrophe and other insurance rates.

Information Reported as Required by State Statute

As reported by the Examination Division, as of July 1, 1998, there were 1,147 insurance companies licensed in Connecticut. Of that total, 135 were domiciled in the State of Connecticut. The applications of 33 insurers applying for admission were reviewed in Fiscal Year 1998-99 and all were licensed. In addition, 22 companies ceased to be licensed through dissolution, merger, or voluntary surrender of their certificates of authority. As of June 30, 1999, 1,158 insurers were authorized to transact business in Connecticut. During Fiscal Year 1998-99, 23 on-site examinations of Connecticut domiciled insurers were completed. As of June 30, 1999, there were 26 examinations in progress. Insurers include life-health insurance companies, property-casualty companies, title insurance companies, fraternal benefit societies, health maintenance organizations, life insurance departments of savings banks, and reinsurance companies.

Connecticut General Statutes Section 38a-77 requires the insurance commissioner to value the reserves held by domestic life insurance companies for all outstanding policies, supplemental benefits and other obligations annually. The required valuation work is performed under the direction of a life valuation actuary. As of December 31, 1998, general account reserves held by domestic insurers amounted to \$79.3 billion; separate account reserves were reported to be \$204.2 billion. The following table indicates calendar year 1998 direct premiums written in Connecticut:

Individual Life	\$1,607,383,427
Individual Annuities	1,031,330,569
Group Life	454,895,587
Group Annuities	201,855,822
Credit Life	16,787,227
Industrial Life	5,924
Annuity and Other Fund Deposits	5,300,132,447
Accident and Health-Credit	26,367,120
Accident and Health-Group	3,848,044,773
Accident and Health Individual	544,936,974
Workers' Compensation	427,759,458
Automobile-Private Passenger	1,932,079,805
Automobile-Commercial	267,589,786
Homeowners-Multi Peril	495,161,674
Commercial-Multi Peril	367,329,727
Medical Malpractice	63,702,870
Other Liability	527,431,690
All Other Property Casualty	490,835,486
Surplus Lines	93,023,279
Title	90,668,819
Total Premiums Written	17,787,322,464

Connecticut General Statutes Section 38a-13 requires that this report to the Governor reflect the names of companies involved in receivership proceedings. As described below, the Insurance Commissioner served as the receiver of four domestic insurance companies: Two property and casualty insurers, one life and health insurer, and one health care center, and served as ancillary receiver of three insurers domiciled in other states.

Covenant Mutual Insurance Company—The Insurance Commissioner was appointed Rehabilitator of Covenant Mutual Insurance Company (Covenant) on March 1, 1993. Covenant was a Connecticut domiciled insurer established in 1831 and was licensed to do business in 31 states. On May 4, 1994, the Superior Court entered an Order (Confirmation Order) confirming a Plan of Rehabilitation of Covenant. The Confirmation Order, among other things, (i) confirmed the Covenant Plan of Rehabilitation (Plan) proposed by Commissioner Googins, (ii) declared Covenant insolvent as of the date of the Confirmation Order, (iii) directed that the assets and liabilities comprising Covenant's estate be liquidated as provided in the Plan; and (iv) established a December 31, 1994 Bar Date for the filing of claims against the Covenant estate. The Plan and the Confirmation Order generally provide as follows: (I) the transfer to, and assumption by, a liquidation trust (the Covenant Mutual Liquidation Trust) of Covenant's assets and liabilities; (ii) the discharge and release of Covenant from all liabilities; (iii) the demutualization of Covenant through conversion to the stock form with all of Covenant's newly issued capital stock being held by the Liquidation Trust; (iv) the sale of Covenant, as converted to the stock insurance company form, by the Liquidation Trust to Insurance Partnerships, Inc. (IPI) for a purchase price consisting of (a) cash of \$1 million and (b) one percent of IPI's fully diluted common stock; (v) the filing with, and allowance of claims by, the Rehabilitator, as trustee of the Liquidation Trust and Liquidator of the Covenant estate; (vi) the distribution of the net proceeds of the Covenant estate in payment of allowed claims; and (vii) an orderly closure of the rehabilitation proceedings and dissolution of the Liquidation Trust. Approximately 2,500 court-approved claim forms were mailed to potential claimants of Covenant in 1994. The claim bar date for filing proofs of claim was December 31, 1994, and as of such date, the Covenant Mutual Liquidation Trust received 335 proofs of claims, including the following claims categorized by class priority in accordance with Conn. Gen. Stat. 38a-944: Class 3 Claims - 27 proofs of claim from various insurance guaranty associations and funds; 36 environmental liability policyholder proofs; 21 non-environmental liability policyholders proofs; 19 surety claims proofs; Class 4 Claims - 6 policyholder return premium proofs of claim, 12 vendor proofs and 65 proofs of claims from reinsures; 3 proofs of claim from the U.S. Pension Benefit Guaranty Corporation (PBGC); 48 proofs of claim by attorneys and adjuster, which depending upon services rendered, are a mixture of Class 1 and Class 4; Class 5 - 13 tax proofs of claim; 7 involuntary and voluntary assessment proofs of claim which, depending on whether they were assessed by government entities or trade associations are either Class 4 or Class 5 claims; 4 proofs of claim received were withdrawn; 19 late-filed proofs were received; and several miscellaneous proofs. The December 31, 1998 balance sheet of the Covenant Mutual Liquidation Trust reflects assets of \$15,876,363 and liabilities of \$27,672,638.

First Connecticut Life Insurance Company - The Insurance Commissioner was appointed Rehabilitator of First Connecticut Life Insurance Company (FCLIC) by the Connecticut Superior Court on April 2, 1996. FCLIC was based in Torrington, Connecticut and commenced business in 1991. FCLIC was licensed only in Connecticut, and immediately prior to its rehabilitation proceedings, offered health, dental, short-term disability, Medicare excess, major medical and prescription drug benefits to employer groups or multiple employer trusts, which insured over 15,000 residents, and at that time generated in excess of \$30 million of premiums per year. Upon commencement of the rehabilitation, the Connecticut Life and Health Insurance Guaranty Association (CLHIGA) was notified of its obligation to pay covered (FCLIC) policyholder claims and on April 19, 1996, commenced the payment of covered claims. On May 3, 1996, the Rehabilitator's First Accounting filed with the Superior Court reflected that FCLIC's liabilities exceeded its assets by a wide margin; it had \$3,494,130 in assets and \$8,411,551 in liabilities as of April 2, 1996. The Rehabilitator, in light of the foregoing, determined that the continuation of FCLIC's business would likely result in further losses and would not be in the best interests of creditors and the estate, including those insureds who may over time exhaust the \$300,000 limit of CLHIGA coverage. Accordingly, by letter dated April 29, 1996, the Rehabilitator notified insureds that their FCLIC policies would be terminated in accordance

with their terms, effective May 31, 1996, and that Blue Cross and Blue Shield of Connecticut, Inc. had agreed to offer new coverage to every employer insured by FCLIC, so that insureds would not suffer a gap in coverage. On May 23, 1996, at the request of the Rehabilitator, the Superior Court ordered that FCLIC be placed in liquidation. In doing so, the Court further ordered that any and all claims against FCLIC be represented to the Liquidator on or before December 31, 1996, in order to share in the distribution of the assets of FCLIC. On May 31, 1996, the Liquidator mailed Notice of the FCLIC liquidation and the December 31, 1996 claim bar date to all known creditors, and published such notice in *The Hartford Courant* and *The Register Citizen*. Of the 351 proofs of claim filed with the Liquidator prior to the claim bar date, 234 claims were filed by FCLIC policyholders; CLHIGA has paid all but a few of these claims, and those that have been denied by CLHIGA, were denied on the basis that they were not covered by FCLIC's policies. Other claims include tax claims filed by the Internal Revenue Service and the Connecticut Department of Revenue Services, and claims of general creditors (including claims by policyholders for premium refunds and claims by agents for commissions). Due to the monies owed FCLIC by its parent company Capital Benefits Plans, Inc. (CBP), on June 14, 1996, the Liquidator joined with other creditors of CBP, in filing with U.S. bankruptcy Court in Connecticut an involuntary petition under Chapter 7 of the Bankruptcy Code against CBP which was subsequently granted by the Bankruptcy Court. On October 1, 1996, the Liquidator entered into a settlement agreement with Cologne Life Reinsurance Company (Cologne), the reinsurer of FCLIC, and thereby resolved complicated disputes between Cologne and the Liquidator concerning several issues. On December 20, 1996, the Superior Court approved the Liquidator agreement with Cologne. On April 25, 1997, the Liquidator and the CBP Bankruptcy Trustee entered into a settlement agreement to settle certain disputes involving various issues including the amount of the Liquidator's claim against CBP, the amount of the Trustee's claim against FCLIC and the manner of splitting the proceeds of certain causes of action being asserted by the Liquidator against third parties, including the former management of FCLIC. The settlement agreement was approved by the Superior Court and the U.S. Bankruptcy Court on June 30, 1997 and October 31, 1997, respectively. On May 30, 1997, the Liquidator filed a civil complaint in the Superior court against three individuals to recover damages alleging that (a) as directors of FCLIC, they breached their fiduciary duties to FCLIC through self-dealing transactions, (b) they participated in the conversion of FCLIC funds by CBP, and (c) they breached their fiduciary duties to, and committed fraud on FCLIC policyholders and creditors by concealing the insolvency of FCLIC. On September 12, 1997, the Liquidators filed a civil complaint in the Superior Court against two of the same individuals, the Chain Family Trust, and Smith Barney, Inc. as custodian of individual retirement accounts of the two individuals alleging claims for fraudulent transfer relating to transfers to certain pension plans established and maintained for the individuals and to the Chain Family Trust. On October 30, 1997, and November 10, 1997, the Bankruptcy Court and the Superior Court, respectively, entered orders approving a settlement agreement the Liquidator and the CBP Bankruptcy Trustee entered into dated as of September 26, 1997 with Fleet National bank (Fleet) settling all disputes with Fleet which arose out of the various lending relationships which FCLIC and CBP had with Fleet. Pursuant to this settlement agreement, Fleet has paid \$307,129 to the FCLIC Liquidator and \$716,635 to the CBP bankruptcy estate. On December 31, 1997, the Liquidator filed a complaint in the Superior Court against Arthur Andersen LLP (Andersen). Andersen audited certain FCLIC financial statements prior to its liquidation. The complaint alleges breach of contract and tortious conduct committed by Andersen in Connection with such audits and reports, and seeks compensatory damages in excess of \$8 million and punitive damages. On May 22, 1998, the Liquidator filed a complaint in the Superior Court against Andersen to recover preferential payments made by FCLIC to Andersen pursuant to Conn. Gen. Stat. 38a-930, within one year before the commencement of its rehabilitation. On May 24, 1999, the Liquidator filed his Third Financial Report with the Superior Court and Noted therein that prior to expected recoveries on third party claims, the FCLIC estate is insolvent by approximately \$9 million. As of June 30, 1999, CLHIGA has disbursed approximately \$16.0 million in claim payments and approximately \$1 million in claim adjustment costs. Pursuant to early access agreements with the Liquidator, CLHIGA received \$8,125,000 in FCLIC assets in partial payment for the expenses it has incurred providing insurance guaranty association coverage to Connecticut residents. The December 31, 1998 balance sheet of the FCLIC receivership reflects assets of

\$11,386,962 and liabilities of \$20,437,496.

Westbrook Insurance Company - On July 17, 1997, the Superior Court appointed the Insurance Commissioner Rehabilitator of Westbrook Insurance Company (Westbrook), a Connecticut domiciled property and casualty insurance company which had its principal office in Wallingford, Connecticut. Westbrook was incorporated in 1994 and licensed only in Connecticut; it underwrote direct insurance and reinsurance on auto liability and auto physical damage risks. Westbrook is a wholly owned subsidiary of Home State Holdings, Inc. (HSH) and part of an affiliated group of property casualty insurance companies (the Home State Group) domiciled in the state of New York, New Jersey, Pennsylvania, and Georgia. Upon commencement of the rehabilitation proceedings, the Rehabilitator immediately took steps to gain control over Westbrook's assets and affairs, including the collection of reinsurance recoveries. After discussions and meetings with HSH and its subsidiary, Home Mutual Insurance Company (Home Mutual), in July, 1997, the Rehabilitator authorized HSH and Home Mutual to continue certain of the administrative services which they provided to Westbrook. Because Westbrook's administrative functions were performed by affiliated companies which were in financial difficulty, the Rehabilitator concluded that the continuation of Westbrook's business would be hazardous to its policyholders and the receivership estate. The Rehabilitator determined that it is in the best interest of policyholders, creditors, and the public to promptly sell Westbrook's ongoing business and transfer Westbrook's claim handling functions to financially reliable parties. Accordingly, the Rehabilitator entered into a Policy Acquisition Agreement and a Reinsurance Agreement dated as of August 15, 1997 with Eagle Insurance Company (Eagle), whereby Eagle assumed all of the obligations of Westbrook under all direct policies issued by Westbrook for losses with dates of accidents on and after August 15, 1997. In order to ensure the continued handling of claims on Westbrook policies arising out of accidents prior to August 15, 1997, the Rehabilitator entered into a Claims Service Agreement dated August 15, 1997 with Material Damage Adjustment Corp. (MDA), an affiliate of Eagle. During this period, the Rehabilitator arranged for Westbrook to transfer to First Security Insurance Company of Hartford performance of all services it provided to the company as its reinsurer of certain commercial auto business, including the collection of premium and the adjustment and payment of claims. On September 19, 1997, the Rehabilitator filed his First Accounting with the Superior Court. On October 27, 1997, the Court entered an order authorizing the Rehabilitator to immediately pay claims for returns of premium held by Westbrook's present and former policyholders. On March 17, 1998, the Rehabilitator filed his Second Accounting with the Superior Court. On September 17, 1998, The Rehabilitator filed his Third Accounting with the Court. In doing so, he noted that the total claims and expenses paid through August 31, 1998 by the estate with respect to accidents occurring prior to August 15, 1997 is \$3,011,010. On October 1, 1998, the Rehabilitator petitioned the Superior Court for an order of liquidation, citing his belief that further attempts at rehabilitation of Westbrook would be futile since the company no longer has an active business. On October 26, 1998, the Superior Court granted the petition and ordered that Westbrook be placed into liquidation and appointed the Insurance Commissioner Liquidator of Westbrook. The claim bar date set by the Court for filing proofs of claim was January 31, 1999. In the opinion of the Liquidator, Westbrook's liquid assets appear to be sufficient to cover the costs of administration of the receivership and claims under policies issued by Westbrook. It appears unlikely, however, that the assets will also cover more junior claims of Westbrook creditors in their entirety. Much of the uncertainty arises due to Westbrook's reinsurance programs. Westbrook and the Home State Group affiliates are parties to an inter-company reinsurance pooling agreement pursuant to which premiums and losses are pooled. In addition, Westbrook and the members of the reinsurance pool are parties to numerous reinsurance treaties with unaffiliated reinsurers. The Liquidator ended Fiscal Year 1998-99 seeking to develop better information concerning amounts owed under the reinsurance pooling agreement and the status of obligations under the reinsurance treaties. Consequently, the Rehabilitator, as of the end of Fiscal year 1998-99, is only able to estimate the extent to which the Westbrook estate is insolvent: namely Westbrook's assets are approximately \$7.9 million and its estimated liabilities are approximately \$11.3 million, resulting in an estimated insolvency of approximately \$3.4 million.

Suburban Health Plan, Inc. - On May 20, 1999, the Superior Court entered a Stipulated Order of Liquidation declaring Suburban Health Plan, Inc. (Suburban) to be insolvent and appointed

the Insurance Commissioner Liquidator of Suburban. Suburban was an HMO based in Shelton, Connecticut which served more than 8,000 members, and was an affiliate of Griffin Hospital in Derby, Connecticut. As of May 1, 1998, Suburban had ceased writing new business, other than additions to existing groups and renewal of existing policies. Suburban discontinued the renewal of coverage for members insured through employer groups effective December 31, 1998, and individuals effective January 31, 1999. As of February 1, 1999, Suburban ceased writing business as a health care center, and at that time, Suburban had no business in force. In accordance with the Liquidation Order, notice of the Suburban liquidation proceedings was sent by first class mail on or before June 15, 1999, to all persons known or reasonably expected to have claims against Suburban. Just prior to July 1, 1999, in accordance with the Liquidation Order, the Liquidator mailed to each subscriber, enrollee, and provider who submitted a claim to Suburban prior to its liquidation, a notice stating the amount which Suburban shows on its books and records as owing to such benefit claimant. At the time of the entry of the Liquidation Order, Suburban's estimated balance sheet reflected \$2,237,831 in assets and \$9,532,206 in liabilities.

On April 26, 1989, the Insurance Commissioner was appointed ancillary receiver of American Mutual Liability Insurance Company (AMLICO) and American Mutual Insurance Company of Boston (AMI), both domiciled in Massachusetts and placed in liquidation on March 9, 1989. The ancillary receiver ended the year with \$19,047,251 and \$1,834,246 in receivership assets for AMLICO and AMI, respectively. The ancillary receiver has to date, distributed assets from AMLICO and AMI receivership estates to the Connecticut Insurance Guaranty Association (CIGA) a total of \$20,000,000 and \$4,000,000, respectively, as early access distributions for the administrative expenses, claims and claims handling expenses CIGA had incurred for covered policy obligations in connection with the AMLICO and AMI insolvency's. On March 31, 1999, the Superior Court approved the eighth Report of the AMLICO and AMI ancillary receiver. During the year, efforts continued toward quantification of the total value of unliquidated claims outstanding and to reach an agreement with the CIGA and the Liquidator of AMLICO and AMI that will permit the early closure of the ancillary receiverships after paying all lawful claims and the reversion of any excess assets held by the Ancillary Receiver to the Liquidator.

On September 9, 1991, the Insurance Commissioner was appointed ancillary receiver of Western Employers Insurance Company (Western Employers), domiciled in California and placed in liquidation on April 19, 1991, and took possession of \$2.5 million of assets of the insolvent insurer for the benefit of workers' compensation policyholders and claimants. The ancillary receiver ended the year with \$3,805,353 in receivership assets. All claims of Connecticut residents are being handled by the Connecticut Insurance Guaranty Association (CIGA) which provides full coverage for workers' compensation claims. As of February 24, 1999, CIGA has made payments related to the Western Employers insolvency in the amount of \$752,140 in workers compensation losses and \$75,361 in claims expenses, operating expenses of \$179,579, workers' compensation loss reserves of \$1,317,374 and \$81,897 in workers' compensation claims expense reserves. The Ancillary Receiver had reviewed the CIGA claim and had determined that said claim in the amount of \$2,406,352.54 be allowed in its entirety. On June 1, 1999, the Superior Court approved the Ancillary Receiver's May 10, 1999 report and Application to Terminate Ancillary Receiver and Discharge Ancillary Receiver. The Ancillary Receiver ended the fiscal year with the Superior Court's authorization to pay CIGA \$2,406,352.54 in allowance of its claim; pay the Treasurer of the State of Connecticut \$430.50 for reimbursement of receivership administrative expenses incurred, and pay the remainder of the Western Employers receivership assets to the Insurance Commissioner of the State of California as Liquidator of Western Employers. Upon distribution of said monies, there will be no remaining receivership assets in the possession of the Ancillary Receiver. The Ancillary Receiver will have executed all of the duties of this office as Ancillary Receiver and, in accordance with the June 1, 1999 Order of the Superior Court, the ancillary Receivership will have been terminated and the proceedings closed.

Affirmative Action Policy

It is policy of the Insurance Department to assure non-discrimination and affirmative action in all phases of the employment process including recruitment, application, interviewing, selection and testing, appointing, assigning, orientation, training, evaluation, promotion and coun-

selling without regard to race, color, religious creed, sex, age, national origin, ancestry, physical disability, learning disability, marital status, sexual orientation, present or past history of mental disorder, mental retardation, political beliefs or criminal record.

To carry out this policy, the Department has undertaken positive action to overcome the present effects of past discrimination and to achieve, in a meaningful way, the full and fair utilization of women and minorities in the work force. It has developed a program of affirmative action and equal employment opportunity as an immediate and necessary objective that it pledges to aggressively pursue in every phase of its personnel policies. The Department shall continue to provide its services in a fair and impartial manner.



State Insurance and Risk Management Board

At a Glance

Mission

DAVID M. LANDSBERG,

Chairman

Joseph G. Lynch, Vice Chairman

Established - 1963,

*Statutory authority - CGS Sec. 4a-19,
20 and 21*

*Central office - 55 Elm Street,
Hartford, CT 06106*

Number of full-time employees - 2

*Recurring operating expenses -
\$8,788,846.00*

The mission of the State Insurance and Risk Management Board is to protect assets of the State of Connecticut through a comprehensive and cost-effective insurance and risk management program.

Statutory Responsibility

Pursuant to C.G.S. Section 4a-19, 20 and 21, the principal duties of the Board are: Determine the method by which the state shall insure itself against losses by the purchase of insurance; obtain the broadest coverage at the most reasonable cost; direct negotiations for the purchase of such insurance and determine the applicability of deductibles and self-insurance; designate the Agent or Agents of Record and select companies from which the insurance coverage shall be purchased; negotiate all elements of insurance premiums and the agent's commission and/or fee for service and establish specifications and request bids for each insurance contract through the Agent of Record. Effective July 1, 1998, House Bill No. 5622 amended the Board's duties to include the development and implementation of Risk Management and Loss Prevention Programs.

The Board serves as the focal point of all non-employment related risk management and insurance matters affecting the state. As such, each agency, department, commission and board and its respective employees benefit from the Board's services by minimizing the financial effect of loss to property and providing protection and service for liability claims not precluded by sovereign immunity.

Public Service

Board members serve as volunteers and receive no compensation for the performance of their duties.

Open communication is encouraged. All Board members, the Risk Manager, and the Agent of Record make themselves readily available to all state agencies on matters relating to risk management or insurance. The Board's focus is to promptly respond to state agencies in an effective and professional manner.

The Board continues to take steps to identify and address the state's unique exposures. Some of the risk management techniques which have been implemented to help reduce the overall cost of risk to the state are large loss review meetings, training sessions for state personnel, monthly property inspections and monthly accident review committees. The Board measures the effectiveness of these techniques by establishing a benchmark of past loss experience and comparing that standard to current loss experience.

Improvements/Achievements 1998-99

On average, the Board renewed its insurance policies for 7 percent less than budgeted premiums.

House Bill No. 5622 changed the name of the State Insurance Purchasing Board to the State Insurance and Risk Management Board and authorized the development of risk management and loss prevention programs.

For the first time in the history of the Board, a Risk Manager has been hired to lead the development of a risk management program and manage the state's self-insured liability obligations.

Upon a thorough analysis, the Board renewed the Third Party Administrative Services contract with Specialty Risk Services to manage all fleet and highway liability claims within the self-insured retention layer.

Strategic Planning

The Board's goal is to provide and promote a coordinated property and casualty risk management program within the State of Connecticut to minimize the adverse impact of risks and losses. The newly hired Risk Manager will transition the Board from an insurance/claim payment role to a coordinated, proactive risk management approach. Some of the other planned initiatives for the next fiscal year include:

- Develop a strategic risk assessment for the CSU System
- Accomplish Committees' Goals
- Conduct Focused Loss Prevention Seminars

Information Reported as Required by State Statute

As statutorily required, the Board continues to assess the feasibility of self-insurance (including deductibles and retentions) as a possible alternative to commercial insurance. Under the present program, prudent and cost-effective risk assumptions are maintained by incorporating retentions and deductibles in property and liability policies.

Gross expenditures for the fiscal year amounted to \$10,494,847.00, of which \$7,497,289.00 represents self-insured/deductible and third party administrative fee reimbursements in accordance with various insurance policy provisions. Reimbursements amounted to \$1,706,002.00 which represent refunds including return premiums and reimbursements from departments and agencies for insurance purchased on their behalf and for which reimbursement provisions are made in the statutes or through some other means.

The Agents of Records' income for the fiscal year was \$269,050.00 and was paid in monthly installments.

The Board reports that it does business only with those insurance companies, which are licensed or approved by the State of Connecticut Insurance Department.

1998/99 Insurance Expenditures

<u>Category</u>	<u>Amount</u>
Accident & Health	\$309,461.00
Agent of Record Fee	\$269,050.00
Aircraft/Airport	\$123,046.00
Bridges Property Damage	\$6,000.00
Fire & Extended Coverage	\$1,242,017.00
Liability & Dram Act	\$1,949,833.00
Motor Vehicles	\$5,859,072.00
Buses	\$526,728.00
Watercraft	\$32,030.00
Miscellaneous & Others	\$24,810.00
Surety Bonds	\$152,800.00
TOTAL GROSS EXPENDITURES	\$10,494,847.00
LESS: REIMBURSEMENTS	(\$1,706,002.00)
TOTAL NET EXPENDITURES	\$8,788,846.00



Department of Labor

At a Glance

JAMES P. BUTLER, *Commissioner*
Susan G. Townsley, *Deputy Commissioner of Employment and Training*
Jean E. Zurbrigen, *Deputy Commissioner of Labor*
Established - 1873
Statutory authority - CGS Sec. 31-1 et. seq.
Central office - 200 Folly Brook Blvd., Wethersfield, CT 06109-1114
Average number of full-time employees - 1,060
Recurring operating expenses -
Federal - \$95,625,815;
State - \$42,825,564
Capital outlay -
Federal - \$2,059,905;
State - \$110,686; CEPF - \$497,135
Organizational structure - Central Office and 18 Connecticut Works career transition centers, operated as a partnership between DOL, the state's eight Regional Workforce Development Boards and other state and community organizations.

Mission

The Department of Labor is committed to protecting and promoting the interests of Connecticut workers. In order to accomplish this in today's ever-changing environment, we must assist workers and employers in becoming competitive in the global economy. We must take a comprehensive approach to meeting the needs of workers, employers, and other agencies that serve them. We must provide the highest-quality, integrated services in response to our customers' needs.



Statutory Responsibility

The Department of Labor's (DOL) main focus is on workforce development initiatives throughout the state. The Department provides job training and employment services under the scope of state and federal law. DOL also helps businesses build, maintain, and upgrade their workforces through job matching, consulting, and training functions.

In addition, the Department provides Unemployment Insurance (UI) income support for people who have lost jobs through no fault of their own. The funding to provide these UI benefits is collected through a tax on employers. The labor commissioner is designated by law as the UI administrator.

The agency protects workers on the job and provides consultation services to employers regarding labor practices. These informational services, as well as enforcement responsibilities, cover statutes regarding the payment of wages, health and safety, employment of minors, family and medical leaves, representation by labor organizations, and resolution of labor disputes.

As the Connecticut arm of the US Bureau of Labor Statistics, DOL collects, analyzes, and disseminates workforce data to inform businesses, the general public, government planners, and policymakers about employment issues and trends.

Public Service

Connecticut is recognized as a national leader in developing a statewide framework for a One-Stop career center system to meet the needs of businesses and employees. The One-Stop system, known as *Connecticut Works*, is a collaboration between the Department of Labor, the state's eight Regional Workforce Development Boards, and other state agencies and local organizations. This system emphasizes customer choice, universality (the ability to respond to the information and service needs of any customer), integration of services, and performance-based outcomes.

Connecticut Works brings job seekers together with employers through easy access to a

variety of job and career information, as well as a full range of related services. During the past year, DOL converted three Job Centers into full-service *Connecticut Works* facilities. With the completion of these conversions there are now 18 *Connecticut Works* sites throughout the state. The New Haven Regional Workforce Development Board operates A 19th office located in New Haven.

Computer kiosks in every *Connecticut Works* center provide Internet access. In addition, DOL now provides access to the *Connecticut Works* job listings, resume talent bank, and regional labor market information at 132 public libraries throughout the state.

Businesses using *Connecticut Works* can utilize recruitment services, labor market information, and workforce development and training services through formal apprenticeship programs in the skill trades or customized job training services. Financial incentives in the form of tax credits are also available to encourage employers to hire targeted groups of people, including job seekers with barriers to employment. Incentives include the Work Opportunities Tax Credit, Welfare-to-Work Tax Credit, and Apprenticeship Tax Credit.

Services offered to job seekers are focused on providing customers with the resources necessary to promote self-sufficiency in their career choices and job search. Job seekers can use self-service resources including telephones, fax machines, personal computers, books, videos and newspapers to assist in their job search. They can also attend workshops on resume writing, interviewing techniques, and career exploration.

To make the One-Stop concept more effective and to better coordinate job-training programs in this state, the Governor's office has created a new Office for Workforce Competitiveness to focus on the implementation of the Workforce Investment Act of 1998.

The Department of Labor is a member of the Connecticut Employment and Training Commission (CETC). During the past year, DOL has worked with CETC to develop state policy positions in the service areas of incumbent worker training, youth employment and training, and welfare reform.

Connecticut Learns, a school-to-career model directed at students from elementary through post-secondary education, provides services to help students make career choices. This initiative, funded by a federal grant totaling \$20 million over five years, is in its third year of operation. DOL has been a principal partner with the State Department of Education in the planning and implementation of this initiative, particularly in relation to the involvement of employers in work-based learning.

DOL also collaborates with the Department of Social Services to help state welfare recipients become employed and independent of cash assistance. Other partnerships with the Department of Economic and Community Development and the Connecticut Development Authority are designed to provide training grants and loans to Connecticut businesses. These services help businesses remain competitive and upgrade their workers' skills.

DOL's Wage and Workplace Standards Division administers laws on minimum wage, overtime, wage payment, prevailing wage and employment of minors. Delivery of these services includes an educational outreach program where the laws are accessible to the public through booklets, pamphlets, and the Internet.

The Connecticut DOL Occupational Safety and Health Division (Conn-OSHA) focuses on providing a safe and healthful working environment. Conn-OSHA enforces health and safety standards in public sector workplaces — over which the US Department of Labor has no jurisdiction. Safety officers and industrial hygienists conduct routine safety inspections, respond to complaints or requests, and investigate fatalities and serious accidents. Where violations are discovered, citations are issued.

Safety and health on-site consultations are available to private-sector employers upon request. The division also develops and conducts individualized safety training to both private- and public-sector employers. Conn-OSHA offers no-cost information services, including speakers, publications, technical assistance and videos on workplace hazards. Conn-OSHA also administers the Occupational Health Clinic Program, coordinating grants-in-aid to occupational and auxiliary occupational health clinics.

The State Board of Labor Relations defines and protects the statutory rights of employees to form, join, or assist labor organizations. It encourages and protects the right of employees and employers to bargain collectively and remedies certain practices on the part of employees and employers that are detrimental to the collective bargaining process and to the general public.

The State Board of Mediation and Arbitration provides mediation and arbitration services to employers and employee organizations in the public and private sector.

The Employment Security Appeals Division, an independent, quasi-judicial agency within DOL, hears appeals from the granting or denial of unemployment insurance benefits. It is comprised of a Referee Section and the Board of Review.

Improvements/Achievements 1998-99

DOL expanded and redesigned its home page, which provides informational services via the Internet. Enhancements were instituted to make the site (www.ctdol.state.ct.us) easier to navigate and more responsive to user needs. The site is utilized by job seekers, businesses, and other states. Customers can find information on OSHA, job fairs, wages, unemployment insurance, and services offered at *Connecticut Works* Career Centers. In October 1998, CTDOL was represented in Paris as part of an on going international study of the nation's public employment services. Connecticut and Wisconsin, the only states chosen by the USDOL to represent the United States, worked with the Organization for Economic Co-operation and Development (OECD), a multi-national body located in Paris, France. CTDOL representatives met with the 29 member countries of the OECD and information provided was included in a published report released in April 1999. On November 23, 1998, Japanese television's TV Ashai (Morning Sun) visited the Hartford *Connecticut Works* to conduct interviews about the One-Stop system.

DOL developed initiatives to ensure One-Stops fully responded to the needs of people with disabilities. *Connecticut Works* formed Disability Advisory Committees, installed adaptive equipment such as TDDs, phone amplifiers, zoom text for PCs, large screen monitors, voice synthesizing software, books on tape, close captioned tapes, and job search information targeted to people with disabilities.

On July 1, 1998, DOL assumed responsibility for the employment services segment of the *Jobs First* program. The program serves recipients of Temporary Family Assistance (TFA), Connecticut's time-limited cash assistance program to low income families. The goals are to enable TFA participants to become employed and independent from cash assistance by the end of the 21-month time limit; to enable them to remain employed and independent of TFA; and to meet federal participation rate requirements. The new employment services program, which handles more than 23,000 clients, is designed to streamline services, coordinate contracts and maximize the use of federal funds. At the *Connecticut Works* Centers, orientation for this new service includes employability screening and job search activities. Individuals needing more intensive services may qualify for the federal Welfare to Work program services. A Case Management and Information System (CMIS) to support the delivery of employment services is being developed to maximize program effectiveness. As part of the *Connecticut Learns* program, DOL helped develop job shadowing programs, internships, and community service projects. During program year 1998-99, *Connecticut Learns* awarded 298 Connecticut Careers Certificates (CCC) to high school graduates who achieved the necessary academic, employability and technical skills in a particular career cluster. Currently, 117 school districts/educational organizations are approved to award the CCC.

Two "*Connecticut Learns and Works*" conferences — November 1998 and April 1999 — were held, with each event attracting approximately 350 people. The conferences provide professional development for individuals working in the areas of education, business and employment and training, and were presented in partnership with the Department of Education's School-to-Career program, the State Occupational Information Coordinating Committee and the Connecticut Women's Education and Legal Fund.

To provide customer service to remote sites, DOL installed the last of 121 kiosks, purchased with One Stop grant funds, to appropriate sites throughout the state. Initially installed in DOL *Connecticut Works* Centers and Appeals offices, the desktop kiosks allow users to look for work through ALEX (the Automated Labor Exchange) and/or access the Internet via the DOL's home page. Improved customer service was also provided with DOL's interactive voice response (IVR) system that provides service during and after normal work hours. Using a telephone, customers access the IVR to file weekly total and partial unemployment claims and to obtain account-specific and general information from their own homes. More than 95 percent of claimants now file by voice response.

DOL's Office of Research held 12 regional job fairs for fall 1998 through spring 1999.

Between 50 to 120 employers participated in each fair, while the number of job-seeker attendees ranged from 400 to 1,200, with special attention focusing on Welfare-to-Work clients. Five more job fairs are planned for fall 1999. In addition to the Connecticut Economic Digest, the Office of Research developed more than 20 publications containing labor market information. The Digest is produced in partnership with the Department of Economic and Community Development with input from the University of Connecticut.

Unemployment Insurance (UI) benefits paid for by all recipients totaled \$350 million. Of that amount, \$392.2 million was provided by employers paying quarterly UI taxes and \$20.8 million was provided by non-taxable employers and other programs. Total taxes paid by more than 94,000 employers whose employees were covered by Unemployment Insurance totaled \$599 million. A new registration imaging system to help provide better customer service is planned for the coming year. Registration, tax forms, and various tax guides can now be obtained via DOL's website.

The Wage and Workplace Standards Division developed a bookmark that outlines child labor laws. The "Workplace Rules for Kids in School" bookmark was distributed to 142,000 young adults in high school and an additional 50,000 were ordered to meet requests.

DOL's Performance Measurement Unit developed performance measures for continuous improvement and linked performance measures more fully to the agency planning and budgeting processes. The introduction of TANF employment services and the passage of the Workforce Investment Act provides new measurement opportunities for innovative approaches, including the Geographic Information System (GIS) now being developed. As a recognized leader in the area of performance measurement, the agency's approach was featured in the May 1999 edition of PA Times. In March 1999, DOL provided performance measurement, monitoring, and performance-based contracting training to 50 employees at the Department of Social Services.

Other accomplishments for the year include:

- The *Connecticut Works* Centers registered 114,979 people for employment services and directly helped 18,417 obtain jobs. Of that total, 3,351 were veterans, 346 had disabilities, 2,544 were less than 22 years of age, and 11,368 were UI claimants.
- Customized job training was provided to 9,087 workers at 575 businesses in the state.
- The Displaced Homemakers Program helped 476 displaced homemakers and their families achieve economic self-sufficiency through counseling, training, and employment services.
- Work Opportunity (WOTC) and Welfare to Work (WtW) tax credit certifications were issued to 351 businesses, which hired 7,210 WOTC eligible individuals and 4,179 WtW eligible individuals.
- New applications for alien labor certification decreased 56 percent, from 1,702 the previous year to approximately 750 cases — due primarily to a change in immigration law.
- JTPA funds under Titles II and III totaled more than \$32.7 million, and provided job training services to more than 16,000 individuals.
- Connecticut's Apprenticeship System registered 2,738 individuals, bringing the state's total number of registered apprentices to 13,526. A total of 579 apprentices completed training to achieve journeyman status. The number of Connecticut companies taking advantage of the corporate tax credit available for sponsoring a registered apprenticeship program totaled 65. This past May, DOL hosted the 55th annual Eastern Seaboard Apprenticeship Conference (ESAC) which attracted more than 500 attendees.
- Conn-OSHA monitored and inspected safety compliance at 215 public sites, affecting workplace conditions of 13,901 state and municipal employees. Violations were documented in 180 inspections, with citations for 172 serious, 496 other-than-serious, and three repeat violations. Safety and health consultations were provided to 440 private-sector employers with 26,931 workers and 126 public agencies with 14,669 employees.
- DOL efforts resulted in the provision of \$750,000 in services delivered through inter-agency agreements in support of Job Corps in Connecticut. Services provided in the Jobs Corp Center in New Haven include a pre-GED instructor, a job placement specialist, a student counselor, a student services coordinator, and a child daycare center. In addition, support from DOL helped the City of Hartford acquire designation as a

site for development of a second center to be named the Capitol Region Job Corps Center.

- The State Board of Labor Relations had 821 new cases filed during fiscal year 1998-99. A total of 922 cases were closed during this period, reducing the backlog of pending cases. Approximately 90 percent of all cases filed were settled through mediation without the need for formal hearings. The Board held 117 hearings and issued 60 decisions. A total of 45 secret ballot elections were conducted to designate collective bargaining agents. At the beginning of the fiscal year, 24 court cases involving the Board were pending: 22 in Superior Court and two in Appellate Court. The Appellate Court issued two decisions, the Superior Court issued five decisions, and three appeals were withdrawn. At the close of the fiscal year, only 14 cases were pending - all in Superior Court.
- A total of 1,230 grievances were filed for arbitration with the Board of Mediation and Arbitration during fiscal year 1998-99. The Board closed 1,714 grievance arbitration cases, 283 awards were issued and 1,865 grievances were scheduled for hearings. The mediators handled 666 requests for mediation of grievances in the public/private sector. Expiration notices on 284 private sector contracts were received and the Board imposed/scheduled binding arbitration on 251 contracts.
- The Employment Security Appeals Division disposed of 15,378 appeals at the lower level Referee section, surpassing federally mandated quality and timeliness standards. The higher level Board of Review disposed of 2,172 cases, also exceeding federal standards. Customer service was enhanced by the creation of an index of precedent Board of Review decisions on the Internet.
- DOL's Office of Affirmative Action Programs (OAAP) implemented a plan that experienced a 75 percent goal achievement rate. The implementation of the Contract Compliance Program will provide a monitoring tool that will enhance opportunities to attract and utilize minority and women business enterprises.
- DOL's Information Technology Division (IT) modified computer systems to insure Year 2000 objectives. The division also worked on migrating from the UNISYS mainframe to an IBM mainframe, and supported the development of a Telephone Initial Claim System.
- The Department's Office of Program Policy issued advisory opinions in 200 individual unemployment compensation cases and approximately 90 multiple-client cases. The office submitted approximately 30 appeals, written arguments or motions to the Board of Review and Appeals Referees. Staff provided outreach programs to approximately 20 employer groups with more than 600 individuals attending these programs.
- The Department of Labor's Business Management Unit budgeted and accounted for approximately \$170 million in federal grants, state appropriations and other funding. The agency cost center budgeting system supported operating budgets for 54 individual cost centers.
- Facilities ensured the maintenance of 300,000 square feet of office space for the Connecticut Works Career Centers and. The department also met the agency's goals to construct two Telephone Initial Call Centers.

Reducing Waste

A centralized Connecticut Job Bank began operating in December 1998. Previously, all 18 *Connecticut Works* Centers took job orders from employers. Employers now contact one central site and report improved quality of the job order and faster service. Customer service representatives at the centralized site are assigned specific geographical areas, providing employers a specific contact to develop a solid business relationship.

Customers can now use their telephones to file continuing and partial claims for Unemployment Insurance benefits. The system helps customers save time and allows DOL to allocate staff time more efficiently.

The Tax Division implemented a new wage and tax reporting system to help process quarterly wage and tax information more efficiently and cost-effectively.

The Wage and Workplace Division made its services accessible via the Internet. Employers can now file their annual family and medical leave report electronically, reducing mailing costs.

Other Internet forms include waivers of payroll frequency and deduction from wages, which are submitted online to the division. Required posters for labor laws are now mailed in one package rather than from different divisions.

The Board of Mediation and Arbitration increased its use of expedited hearing process to streamline the process and reduce costs.

The agency continues to improve its website to increase the efficient sharing of labor market information to the public. The site now provides a more historical series of labor market data and additional information aimed at students and job seekers. The extensive information on the site, including forms, brochures, and fact sheets allows the public to access information quickly. This assists DOL in providing more intensive services when needed.

Strategic Planning

DOL's strategic plan, adopted in 1996, includes seven goals:

1. Live within our means.
2. Create the most cost-effective, efficient and accessible automation systems possible.
3. Emphasize the provision of customer-driven services from field locations.
4. Commit to developing and enhancing the Connecticut Works One-Stop Career System and its goals.
5. Integrate the direct provision of unemployment insurance services into a comprehensive system of workforce development.
6. Move from a program-driven to a systems-oriented approach: emphasize the coordination and integration of the administration and delivery of services through a network of strategic alliances and partnerships with state, regional and local entities.
7. Promote workplace safety and standards through a combination of education and enforcement efforts.

During 1998-99 the agency worked to implement a number of key projects resulting from the strategic plan including establishment of a system for processing unemployment insurance claims by phone; simplification of internal processes; establishment of a centralized job bank; and the provision of employment services to TANF recipients. During the coming year the agency will undertake a comprehensive review of the strategic plan with special emphasis on the impact of the new federal Workforce Investment Act. ●

Office of the Chief Medical Examiner

At a Glance

H. WAYNE CARVER, II, MD,
Chief Medical Examiner
Edward T. McDonough, MD, Deputy
Chief Medical Examiner
Established - 1970
Statutory authority - CGS Sec. 19a-400
through 19a-414
Average number of employees - 48 full-
time and 10 part-time
Recurring operating expenses -
\$ 4,176,238
Capital outlay - \$ 183,217

Mission

In Connecticut, all violent, sudden, unexpected and suspicious deaths, deaths related to employment or which constitute a threat to the public health, and deaths of people whose bodies are to be cremated, are reportable to the Office of the Chief Medical Examiner. It is the mission of this Office to investigate these deaths, certify the cause and manner of death and provide information to legitimate interested parties as defined by law and regulation.

Statutory Responsibility

The Connecticut General Statutes concisely defines what deaths will be investigated. Because of the nature of death, the Office has little control of the number of investigations. During the year, 14,661 deaths were reported to the Medical Examiner's Office. After initial investigation, the Office of the Chief Medical Examiner took jurisdiction of 11,923 cases for further investigation, an increase of 6.8 percent from the previous fiscal year. Most cases are initially investigated by Assistant Medical Examiners serving in communities throughout the state. Of the total number of deaths reported, 8,277 were cremation investigations, a slight decrease from the previous fiscal year. There were 1,484 medicolegal autopsies conducted at the Farmington facility. Of the autopsies performed at the Chief Medical Examiner's Office, 148 were homicide victims. Completed records of homicides, including toxicological analysis, were furnished to the state's attorneys, usually within thirty days following autopsy.

The Office, located on the grounds of the University of Connecticut Health Center in Farmington, operates 24 hours a day, 7 days a week, year round. It is a long standing goal to investigate deaths presented to this Office in a timely (usually releasing the body to the family within 24 hours) and in a high quality manner. In addition, there is a long-standing goal of completing most reports within 30 days of autopsy.

Improvements/Achievements 1998-99

The Office is functionally divided into three parts: Pathology Services; Support Services; Laboratory Services. The Office is especially mindful of delivering services in a timely, efficient, high quality manner, and at the least cost possible. A summary of our improvements/achievements includes: ongoing use of universal precautions (with respect to blood borne disease); health and safety training; organizational development; simplifying operations.

Support services includes all non-clinical activities and provides all services in support of the physicians, employees, and decedent families. Ongoing review of our business practices continues to result in small, but important, steps to streamline and simplify office operations. We continue to utilize the Employee Assistance Program (EAP) provided by the University of Connecticut Health Center.

During this period, the facility was under the control of the State Department of Public Works and managed by a private company. Several health and safety issues were/are being addressed including the installation of a new security system.

As a result of installation of information technology hardware and software in 1990, Connecticut has one of the largest databases of accumulated death investigation data in the country (over 125,000 records). The office produced 599 computerized statistical reports during the

year, an increase of 25 percent from the previous fiscal year. Report recipients include state's attorneys, public defenders, hospital quality control departments and researchers. The Office continues its migration paperless processes to further reduce repetitive manual entry and to address Y2K issues. The Office of the Chief Medical Examiner's website is <http://www.state.ct.us/ocme>.

In the toxicology and histology laboratories, we continue to invest in technological advances to more efficiently and effectively detect increasingly complex post mortem testing of tissue and fluids.

Nine pathology residents from three hospital training programs in Connecticut and four medical students from the University of Connecticut Health Center spent an elective rotation at the Chief Medical Examiner's Office. Eleven pathology master degree candidates from Quinnipiac College, an intern from the University of New Haven, a University of Connecticut Law student and a two Connecticut State Troopers spent a rotation observing and assisting in the performance of autopsies during this period.

An average of seventeen residents from several hospital pathology programs statewide participated in our forensic pathology seminar during 1998-99. Educational programs were provided to law enforcement personnel at the Connecticut Municipal Police Academy and Connecticut State Police Training Academy, to medical students at the University of Connecticut Health Center, Yale University School of Medicine and to many professional and community groups across the state.

The Office of the Chief Medical Examiner continues its ongoing initiative to continuously improve the quality and delivery of its critical services in a timely, efficient and caring manner, and is committed to the letter and spirit of equal opportunity and affirmative action for all.

The Chapter 368q of the Connecticut General Statutes places the Office of the Chief Medical Examiner under the supervision of the Commission on Medicolegal Investigations. The commission met at the Office of the Chief Medical Examiner in Farmington on September 25 and November 20, 1998 and on January 29, March 26 and May 21, 1999. The March 26, 1999 meeting was the annual open meeting at which members of constituent groups and representatives of the public are invited to address the Commission.

Commission membership during fiscal year 1998-99: *Stephen A. Harriman, Commissioner, Department of Public Health, Hartford; Norma Gyle, R.N., M.S., Acting Commissioner, Department of Public Health, Hartford; Robert E. Cone, Ph.D., Professor of Pathology, University of Connecticut Health Center, Farmington; Francis R. Coughlin, M.D., JD, Physician and Attorney, New Canaan; S. Evans Downing, M.D., Professor of Pathology, Yale University School of Medicine, New Haven; Steven B. Duke, JD, Professor of Law, Yale University School of Law; New Haven; Todd Fernow, JD, University of Connecticut Law School, Hartford; Regina M. Hitchery, public member, Glastonbury; W. Raymond James, M.D., Physician, Essex; Daniel C. Niejadlik, M.D., Physician, Essex; Vacancy, Connecticut Bar Association. Dr. Downing was re-elected to continue serving as chairman.*

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Department of Mental Health and Addiction Services

At a Glance

ALBERT J. SOLNIT, M.D., *Commissioner*
Thomas A. Kirk, Ph.D., *Deputy*
Commissioner

Kenneth Marcus, M.D., *Medical Director*
*Established - 1995*¹

Statutory authority - CGS Sec. 17a-450

*Central office - 410 Capitol Avenue,
4th Floor, P.O. Box 341431
Hartford, CT 06134*

Recurring operating expenses - \$391,835,925
Capital outlay - \$4,716,851

*Organizational structure - Offices of the
Commissioner, Deputy Commissioner,
Medical Director, Chief Operating Officer,
Multicultural Affairs, Legislation and
Policy, Program Analysis and Support,
Community Education and Communica-
tions, Forensic Services, Quality Assurance,
Information Services, Administration and
Finance, Behavioral Health Services, Hu-
man Resources Management, State-Oper-
ated Hospitals, and Division of Safety Ser-
vices.*

Mission

The mission of the Department of Mental Health and Addiction Services is to improve the quality of life of the people of Connecticut by providing an integrated network of comprehensive, effective and efficient mental health and addiction services that foster self-sufficiency, dignity, and respect.



Statutory Responsibility

The Department of Mental Health and Addiction Services (DMHAS) promotes and administers comprehensive, client-based services in the areas of mental health treatment and substance abuse prevention and treatment throughout Connecticut.

While the Department's prevention services are available to all Connecticut citizens, its mandate is to serve adults with psychiatric or substance use disorders, or both, who lack the financial means to obtain such services on their own. DMHAS also provides collaborative programs for individuals with special needs, such as persons with AIDS or HIV infection, people in the criminal justice system, substance abusing pregnant women, those with problem gambling disorders, persons with traumatic brain injury, those with a co-occurring diagnosis of substance abuse and mental illness, and special populations transitioning out of the Department of Children and Families. DMHAS considers the needs and perspectives of families and makes substantial efforts to include family members as well as service recipients in its policy development, striving to build a network of strong partnerships between communities and local service providers. DMHAS continues its commitment to decentralization, consumer and family empowerment, and deinstitutionalization, in the belief that the majority of people with mental illness and/or substance use disorders respond significantly better to treatment in a community setting than to traditional long-term inpatient environments — provided that the residential, supportive, rehabilitative, and crisis intervention services that people need are available to them in their local communities.

The Commissioner of Mental Health and Addiction Services confers with the State Board of Mental Health and Addiction Services, a 40-member group consisting of 15 gubernatorial appointees, the chairperson and one designee each from the 5 Regional Mental Health Boards, and

¹Merging the former Department of Mental Health (established 1953) with the Addiction Services component of the Department of Public Health and Addiction Services.

one designee each from the 15 substance abuse Regional Action Councils. During fiscal year 1999-2000, the State Mental Health Board Chairperson will be Philippa Coughlan, Ph.D.

Public Service

Mental Health Services

The Department of Mental Health and Addiction Services is responsible for providing a full range of treatment services to adults. This includes inpatient hospitalization, outpatient clinical services, 24-hour emergency care, day treatment and other partial hospitalization, psychosocial and vocational rehabilitation, restoration to competency and forensic services (including jail diversion programs), outreach services for persons with serious mental illness who are homeless, and comprehensive community-based mental health treatment and support services. During 1998-99, DMHAS funded and monitored 443 community-based treatment programs, and four state inpatient treatment facilities (Connecticut Valley Hospital, Cedarcrest Hospital, Greater Bridgeport Community Mental Health Center and Connecticut Mental Health Center), totaling \$316,021,445 in state funding.

DMHAS works with a network of 15 Local Mental Health Authorities (six publicly funded and nine private, non-profit agencies) to provide treatment and support at the community level. It also maintains close working relationships with the five Regional Mental Health Boards (located in Norwalk, Middletown, Newington, Norwich and Waterbury), patient advocacy agencies, families, consumers, and others in its efforts to deliver the support and treatment needed by the clients it is dedicated to serve throughout Connecticut.

During FY 98-99, DMHAS provided and/or funded mental health services to approximately 34,000 unduplicated clients through its inpatient and outpatient programs. It also provided intensive case management programs throughout the state to approximately 14,500 people with psychiatric disabilities (these programs expand upon traditional case management services for individuals whose disabilities require more care). In addition, the department served an additional 3,043 clients with mental illness through its General Assistance behavioral health services during the period 10/1/98 through 5/31/99.

Substance Abuse Services

DMHAS is the state's lead agency for the prevention and treatment of alcohol and other drug abuse. As such, it provides a variety of treatment services to persons with substance use disorders, including ambulatory care, residential detoxification, long-term care, long-term rehabilitation, intensive and intermediate residential, methadone or chemical maintenance, outpatient, partial hospitalization, and aftercare. Services for HIV-infected clients include counseling, testing, support and coping therapies, alternative therapies and case management. The department also provides prevention services, designed to promote the overall health and wellness of individuals and communities by preventing or delaying substance use; these include information dissemination, education, alternative activities, strengthening communities, promoting positive values, and problem identification and referral to services. Through this model, attitudes and behaviors that contribute to alcohol and other drug abuse are changed, leading to healthier communities.

Both substance abuse prevention and treatment services are provided to a broad range of populations. Treatment services are aimed at assisting those with substance use disorders to recover from their illness, while prevention services increase resiliency factors that reduce the likelihood of substance abuse.

DMHAS administers and funds 122 prevention coalitions covering 169 towns, and 31 community-based prevention programs provide services statewide or at the regional or local level. During 1998-99, the department funded and monitored more than 177 community-based substance abuse treatment programs and operated three inpatient state treatment facilities (Blue Hills Hospital, Connecticut Valley Hospital, and Greater Bridgeport Community Mental Health Center). Total agency funding of substance abuse services for FY 98-99 was \$121,549,155, and approximately 27,200 (unduplicated) clients were provided a total of 46,000 episodes of outpatient and/or residential care. In addition, the department served 7,101 additional clients with alcohol and/or substance abuse disorders through its General Assistance behavioral health services from 10/1/98 through 5/31/99.

The Connecticut Alcohol and Drug Policy Council

Established by statute in July 1997, the Connecticut Alcohol and Drug Policy Council (ADPC) is a non-partisan, public/private partnership which promotes statewide coordination of services; submits an integrated plan to the Governor for alcohol and drug prevention, treatment services and enforcement activities; and proposes ways to implement the recommendations. The Council includes Commissioners of several state agencies and is chaired by the Commissioner of DMHAS. The Council submitted its third report, *Statewide Interagency Substance Abuse Plan*, in January of 1999. This comprehensive three-year, multi-agency action plan offers new efficiencies for service delivery and brings research-based best practices to reduce the harmful impact of substance abuse. For Fiscal Year 99-00, DMHAS will devote approximately \$3 million to implementing ADPC initiatives.

As a result of the Alcohol and Drug Policy Council's unique, collaborative approach, Connecticut was selected in July 1999 by the federal Center for Substance Abuse Treatment, in collaboration with the President's Office of National Drug Control Policy, as one of only four sites in the US for a public hearing on formulating a national substance abuse treatment plan. During this public hearing, testimony was given before a panel of federal and nationally recognized experts by individuals from Connecticut and 10 other states.

Community Education and Consumer Advocacy

The goal of the Office of Community Education is to improve community relations and service quality by ensuring that consumers and families have meaningful opportunities to actively participate in the development, implementation, and evaluation of the DMHAS service system at all organizational levels, with strong support for consumer/survivor and family advocacy networks and programs. Particular attention is given to addressing stigma and advancing enlightened attitudes about psychiatric disabilities and addiction.

Consumers, families, providers and the public have access to information and available resources through a statewide, toll-free referral line (1-800-446-7348) which is answered by trained staff, who have updated materials on mental illness; trauma education; substance abuse; patients' rights/grievance procedures; veterans' affairs; work incentives; and support services for consumers/survivors and families through education and training at multiple sites around the state. The department also has a statewide, toll-free TTY line (1-800-621-3551) for deaf and hearing impaired persons with mental illness.

For those preferring to use the Internet, DMHAS has created an Internet website (www.dmhas.state.ct.us) which features many topics of importance to consumers/survivors and families, including information on how and where to find services, advocacy and support, crisis intervention services and a special "customer relations" page to help answer questions and provide additional assistance.

DMHAS continues to have both a Consumer Liaison and a Family Liaison for each local mental health authority (LMHA), whose purpose is to ensure ongoing collaboration among consumers and agency management and to actively represent consumer and family perspectives in LMHA deliberations. In addition, a Trauma Survivor Coordinator has been designated within the Office of Customer Relations to work with trauma survivors in advocating better treatment and services on a statewide basis. DMHAS also sponsored a statewide conference on trauma, warm line training and a variety of educational/training events for providers, survivors and consumers.

During FY 98-99, DMHAS hired a Veterans' Affairs Coordinator for the Office of Customer Relations, who will work closely with veterans in DMHAS-funded programs and with the Connecticut Department of Veterans' Affairs to ensure that appropriate services are provided to all of Connecticut's veterans.

In addition, the Office of Customer Relations administers, manages and directs the agency's Patients' Rights Program and the statewide grievance process. As required by Public Act 94-204, a fair hearing procedure for mental health services was developed and made available to all mental health clients. These policies enhance the service delivery system by offering a vehicle to mediate complaints at the local level, including an appeal process to the Office of the Commissioner. This year, Public Act 99-2 of the June 14th Special Session expanded the DMHAS fair hearing and grievance procedure to include substance abuse services.

The Department of Mental Health and Addiction Services complies with a consent order that

established the Connecticut Legal Rights Project (CLRP), an independent, non-profit program providing legal services for persons receiving psychiatric services from DMHAS. CLRP has offices in each of the state-operated inpatient facilities. The Community Advocacy Education Division continues to offer advocacy education and training for people with psychiatric disabilities.

Improvements/Achievements 1998-99

Legislation Passed

Significant legislation which passed during the 1999 session included: (1) allowing DMHAS to have increased access to records of patients in cases involving a death or serious injury; (2) reduction and monitoring of the use of physical restraints; (3) providing "parity" for the provision of mental health and substance abuse services with other medical treatment; (4) provision of funding to conduct a number of studies to document the strain placed on DMHAS services by clients who are transitioning out of other agencies, such as the Dept. of Children and Families, Dept. of Correction, etc.; (5) adding DMHAS to the state's Long-Term Care Committee; (6) technical changes to the pretrial drug education program; and (7) funds for behavioral health services for people with Acquired Brain Injury or Traumatic Brain Injury, both for treatment at Connecticut Valley Hospital and out in the community.

Improvements to the Service Delivery System

During FY 97-98, DMHAS successfully created the Office of Behavioral Health (OBH) as part of agency reorganization efforts to integrate mental health and addiction services. Through its five regional teams, OBH is now conducting routine monitoring activities, including on-site review, desk audits of program utilization data and consumer/client focus groups for all DMHAS-operated and funded mental health and addiction services. The goals of these monitoring activities are to ensure quality service delivery and compliance with applicable state and federal regulations.

OBH continues to participate in the development of an Integrated Service System (ISS) process, designed to promote a regional approach for service delivery to DMHAS consumers. Through this regional approach, care is better coordinated, duplication of effort is reduced, increased choice and participation results for consumers and families, new community services are developed, and measurable outcomes improve as a result of the increased collaboration between DMHAS, its providers and consumer advocates.

During FY 98-99, DMHAS provided "pilot" funds for the sole purpose of furthering specific efforts designed to create or enhance integrated service delivery to our consumers, to include: (a) creation of an Access Center in the Southwest region; (b) expansion of crisis intervention services in the South Central region; (c) expansion of consumer engagement and involvement in ISS development in the North Central region and (d) creation of a case management system for chronic substance dependence in the Northwest region. Through its Statewide Services Division, the DMHAS Housing Unit has initiated its PILOTS (Planning and Implementing Housing Options for Long-Term Success) program. This initiative is being funded by the US Department of Housing and Urban Development (HUD) as a means of increasing the supply of housing for persons who are homeless and disabled as a result of mental illness or addiction.

OBH is improving the service system's capability to respond to the demands of modern behavioral health care through its Managed Care Unit. This unit is helping to conceptualize, communicate, and implement a comprehensive managed system of behavioral health care that is client-centered and culturally competent.

As mandated in Public Act 97-8 of the June 18th Special Session, DMHAS assumed responsibility on July 1, 1997, for the management of behavioral health care for General Assistance (G.A.) recipients (this was previously administered by the Department of Social Services). As part of this changeover, OBH has overseen the development of behavioral health units in 11 locations throughout Connecticut. These units have three principal functions: (1) assessment of G.A. recipients to determine their need for mental health and/or substance abuse services; (2) connecting clients with these services; and (3) monitoring ongoing client progress in care. The functions of these units were recently expanded so they can now administer the agency's Basic Needs Program over the coming fiscal year. This program will cover transitional assistance, such as housing, food, and other basic needs. Through a contract with an Administrative Services Organization (ASO), DMHAS assures that G.A. recipients get easy access to the appropri-

ate level of care for their needs, in the proper setting, at the right intensity, for the proper duration and the most cost-effective manner. DMHAS is planning strategies for its managed system of care in a way that recognizes the special needs and problems of the public sector client.

On October 1, 1998 DMHAS significantly expanded the number of services covered by managed care in the General Assistance Behavioral Health Program. As a result of these changes, nearly all behavioral health services provided to people who receive General Assistance are now managed by DMHAS. Interim policies governing the G.A. Behavioral Health Program have been issued and draft regulations circulated. Comments on the regulations were taken at a formal public hearing, and the regulations are expected to be finalized later this year. Early indications are that the transition to the new system occurred relatively smoothly and that coordination of care and access to services are beginning to improve.

Additionally, during FY 98-99 the Managed Care Unit developed two important new programs: (1) Basic Needs Program, which provides food, clothing, shelter, and other basic necessities to encourage clients to become involved in and stay in treatment; and (2) a Care/Case Management Program that focuses supports on clients who are frequent users of acute care services in order to help them to break the cycle of readmission.

DMHAS has reorganized service delivery of substance abuse treatment in the Hartford area. Under this reorganization, the actual number of treatment beds increased from 89 to 114. This includes 41 state-operated substance abuse treatment beds at Blue Hills Hospital and access to 14 respite beds at Capitol Region Mental Health Authority, as well as contracting for an additional 38 inpatient rehabilitation beds sited in Hartford's North End; 10 new alternative living center beds in Hartford for a gender-sensitive program for substance abusing women; 11 new transitional housing beds for men and women; new specialized outpatient services for individuals with dual diagnoses or other high risk conditions; an extensive range of new ancillary services, including a new 24-hour access system to facilitate entry into care; and for case management services, transportation assistance and housing supports. The reorganization has substantially increased the quality of substance abuse services by enhancing easy access to the appropriate level of care and by utilizing newly contracted services to expand the range of services available to the target population. In addition, community involvement has been strengthened by the creation of the Blue Hills Substance Abuse Services Expansion Advisory Council, composed of consumers, advocates, providers, and community and religious representatives. The Council's primary goal is to assist in monitoring the effective implementation of DMHAS' service reconfiguration plan, as well as to provide ongoing advice regarding the efficacy of the plan.

A major aspect of the system redesign was the development of the Substance Abuse Treatment Enhancement Project (SATEP). Comprised of a diverse group of private, non-profit providers, SATEP's services (which are available to the North Central Region) include a 24-hour access line (1-800-563-4086), transportation, case management, outpatient treatment, men's and women's housing support beds, a women's alternative living center, and both intermediate and intensive residential treatment programs. A critical element of these services is the ability to serve people who have co-occurring substance use and psychiatric disorders. Additionally, SATEP has been approved to participate in a DMHAS training program in cultural competency, which is key to the delivery of quality services in the Greater Hartford area.

New Projects:

1) Methadone Pilot Program: In the fall of 1998, with support from the federal Center for Substance Abuse Treatment, DMHAS began development of a pilot research program in the Waterbury area. The purpose of the study is to examine the efficacy of providing methadone maintenance treatment for stabilized clients in the offices of private physicians, rather than in traditional methadone clinics. This study represents a potential national model for improved access to treatment for opiate-addicted persons. The research is scheduled to conclude in February 2000, with a final report of findings to be produced in the spring of 2000.

2) Model Continuing Education Standards for Alcohol and Substance Abuse Screening: Public Act 98-201, An Act Concerning Substance Abuse Emergency Room Screening and Training and Education for Health Care Professionals, mandated that DMHAS produce model standards for a alcohol and substance abuse screening for a number of licensed health care provid-

ers. The department has contracted with Yale University to develop these standards during FY 99-00. DMHAS is extremely interested in encouraging earlier interventions with alcohol and substance abusing individuals within a wide range of health care settings.

3) Special Populations: DMHAS is in the second year of a pilot program that was established to provide services to young adults with special needs who are transitioning out of the care of the Department of Children and Families (DCF). This program is targeted to individuals with mental illness and with pervasive developmental disorders or certain sexual disorders and is restricted to young adults between the ages of 18 and 21 at the time of their acceptance into the pilot. Consistent with the department's legislative mandate, services provided under this pilot are available only to clients who choose to participate in the program on a voluntary basis. In general, pilot program services "follow" the client, and are intended primarily to provide comprehensive and individualized wrap-around services rather than to fund, establish or augment existing programs. The goal of the project is to provide increasingly effective and seamless care for identified clients, with the services characterized by quality, accountability, cost-effectiveness, and increased safety and security for clients and community. DMHAS currently has 23 individuals participating in this program.

4) Enhanced DMHAS Audit Capacity: In the fall of 1998, DMHAS created an audit unit which is responsible for reviewing claims payments under the department's General Assistance Behavioral Health Program. This unit will ensure that resources are used efficiently and effectively, and that instances of potential fraud, waste, or abuse are identified and ameliorated. The unit will also review and recommend improvements to the DMHAS' internal controls, practices and procedures.

Expanding Substance Abuse Community Outreach Efforts

The DMHAS substance abuse prevention service system is organized to ensure that Connecticut youth, families, workplaces, schools and communities have access to high-quality and effective prevention programs. The system is composed of the following: (1) six statewide service delivery agents (the prevention infrastructure); (2) ten prevention diffusion projects; (3) 120 local prevention councils to support prevention programming within municipalities; (4) two statewide Robert Wood Johnson Foundation Coalitions, addressing tobacco and alcohol issues among under-aged youth; (5) three projects for children of substance abusers serving high risk youth and their families; and (6) three Drug-Free Schools and Communities programs, funded to provide comprehensive prevention programs for children and adult children of substance abusing parents and other family members affected by substance abuse. DMHAS has received over \$10 million in new grant funding from the federal Center for Substance Abuse Prevention to further these efforts.

A new project was implemented to provide greater access to substance abuse treatment services, with better retention rates, for the Latino population. This Latino Outreach Project is a collaborative effort involving community treatment providers in each region of the state. The information gained and positive results from the project will help to improve services for all programs that serve the Latino community.

Public Safety/Criminal Justice:

Public Act 98-129, An Act Concerning Handgun Safety, which went into effect on October 1, 1998, requires DMHAS to work with the Department of Public Safety (DPS) to determine whether individuals referred for commitment by the probate court system either possess a weapons permit or have applied for one. As mandated, the DMHAS Division of Safety Services has developed and implemented a secure and confidential mechanism to facilitate this exchange of information between DMHAS and DPS. DMHAS will also be collaborating closely with the Judicial Branch on the implementation of Public Act 98-129.

During FY 98-99 the Division of Safety Services also developed and began implementing a Critical Incident Stress Management (CISM) department-wide network. Facility-based CISM teams were organized and approximately 60 staff from all shifts were trained to provide specialized support group counseling (debriefing and defusing) in response to job-related traumatic incidents. Ongoing stress management efforts include an Employee Assistance Program and a CISM advisory committee that meets monthly.

In addition, the Division of Safety Services developed and began implementing the *STREETSAFE* Personal Safety Training Program for DMHAS consumers. Specifically targeted for training are those consumers who live in urban areas and are in recovery from serious psychiatric disabilities and/or substance use disorders. The training program teaches personal preventive measures, safe behaviors to reduce the risk of victimization and actions that a consumer should take in the event that he or she becomes a victim of crime. *STREETSAFE* is being implemented at 13 DMHAS-operated or funded outpatient agencies throughout Connecticut. Teams of staff and consumers instruct the program. Approximately 1,000 consumers will receive this training during FY 99-00. In addition the Division provides clinical safety training to DMHAS staff in such areas as CPR, first aid, and management of aggressive behavior. During FY 98-99, training was provided to 2,979 staff at 13 state-operated facilities, as well as to 800 staff at DMHAS-funded agencies.

During FY 98-99 DMHAS undertook a study of the fiscal, policy and programmatic impacts of civil commitment of sexually violent persons. An interagency committee with representatives from a variety of state agencies analyzed the current population of persons at risk of engaging in sexually dangerous behavior, examined issues in managing this population within current laws and resources, and developed strategies and recommendations to improve the management of sexually dangerous persons in a manner to ensure public safety. The Committee produced a report to the Governor on this important issue which rejected civil commitment of sex offenders, but enhanced criminal justice response. Public Act 99-2, passed at the June 14th Special Session, addresses the Committee's recommendations. The interagency committee will also be addressing credentialing and standards for sex offender assessments and treatment.

Over the past year, DMHAS expanded its jail diversion outreach programs to two more Superior Courts (now covering 11 of the 22 courts). The department is also collaborating with the Judicial Branch to develop a report to the Legislature by February of 2000 to propose expansion of these programs.

DMHAS has also made gains in terms of psychiatric outreach to the criminal justice system during the reporting period. The department chairs an interagency committee which includes the Department of Correction and criminal justice agencies and works to ensure timely identification of inmates with psychiatric service needs, provide comprehensive clinical consultation and discharge planning in advance of their release from the criminal justice system.

Capitol Region Mental Health Center participated in and is a contributing agency to the first community court established in the state of Connecticut. CRMHC provides ongoing assessment of persons with behavioral health needs who have been arrested for minor offenses and links those persons to services.

Education & Training Initiatives

The DMHAS Education and Training Division is responsible for tracking and monitoring education and training data and expenditures across the DMHAS system; promoting professional development of direct care, administrative and managerial staff; and strengthening the development of academic linkages. Co-Occurring Disorders Training has been implemented within the DMHAS Integrated Service System in order to promote the integration and collaboration of services offered to our clients who have been diagnosed with a co-occurring disorder. A total of 120 contact hours over the span of 20 training days is being offered to 71 participants who are responsible for the direct care and integration of services to these clients within the DMHAS system.

A comprehensive program of Risk Assessment/Competency Restoration was developed and implemented during FY 98-99. A total of 34 clinicians each received 16 training hours in Competency Restoration. In addition, 740 clinicians received 8 training hours in Basic Risk Assessment Training, and 460 clinicians completed 8 additional hours of training in Advanced Risk Assessment. In March 1999, Advanced Risk Assessment/Competency Restoration Seminars were implemented which will provide 120 clinicians with 36 training hours over a 12-month period.

DMHAS and the UConn School of Social Work have entered into a collaborative agreement in order to confer a Master of Social Work degree with specialization in Mental Health and Substance Abuse. Twenty-one students graduated from this program during the FY 98-99 fiscal year and 21 new applicants have recently entered training.

Cultural Competence

During FY 98-99, the DMHAS Office of Multicultural Affairs (OMA) developed and distributed its three-year Strategic Plan throughout the treatment system to facilitate fulfillment of the department's multicultural goals. OMA collaborates with the Multicultural Advisory Council and Temple University consultants to guide efforts that will ensure culturally competent prevention, addiction and mental health programs. OMA structures and implements activities designed to enhance the department's capacity to function effectively in a multicultural environment. OMA and MCAC produced the DMHAS Forum Newsletter on multiculturalism and a Statewide Conference on Culturally Competent Services for 300 clinical, programmatic and managerial participants.

The DMHAS Multicultural Advisory Council (MCAC) was created in 1997 and continues to assess current and future efforts, policies and actions in multiculturalism, and to serve as a guide to senior management on issues of cultural competence. DMHAS is proud to be the first state agency to create a Director of Multicultural Affairs position. This position is charged with providing leadership to the Council, developing comprehensive statewide training in multiculturalism, and participating in evaluating the cultural appropriateness of clinical services and client outcomes.

Reducing Waste

As part of its creation of the Office of Behavioral Health, DMHAS has established an Integrated Service System which promotes a regional approach to service delivery, thus permitting better coordination of care, reducing duplication of effort, and improving outcomes through increased collaboration between the department and its providers. As this system becomes fully implemented, significant cost savings may be achieved which, in turn, can be "reinvested" for additional services.

Following the consolidation of mental health and addiction services into one department, DMHAS introduced regional service systems based on integration, access, outcomes, accountability for care and consumer/family input. DMHAS is now moving forward with appropriate regional management structures and coordinated regional advisory functions. The goal is to decentralize and localize key aspects of funding and decision-making for improved quality of client care.

Additionally, given DMHAS' commitment to high quality services and a high quality, accountable management infrastructure, DMHAS is establishing a common understanding of and commitment to quality management and improvement principles and activities throughout the system of care. The department's strong emphasis on utilization management has resulted in improved access to services and better treatment outcomes. New partnerships and collaborative efforts with other state agencies have also achieved greater cost efficiencies and a more seamless system of care for adults.

As part of the Legislative mandate to administratively integrate mental health services and addiction services, and consistent with the anticipated demands of providing services to public clients within a managed care environment, DMHAS continued to reorganize its operations throughout 1998-99. With the establishment of the Office of Behavioral Health in 1997, DMHAS is able to provide direction for managed care planning and implementation initiatives, as well as oversight of service system operations.

DMHAS is in the process of developing a department-wide Quality Management Plan, the focus of which will be to analyze data on performance and quality and to establish improvement priorities. In addition, the department has created consumer and provider councils which assist the department in developing policy related to managed care initiatives. A current plan to redesign the DMHAS service system includes key systemic quality evaluation components. DMHAS is also working to develop a process to credential providers for specific levels of care.

The Education and Training Division, and DMHAS as a whole, has shown marked improvement in efficiency through its efforts to aggressively monitor expenses, while providing more training to more people, with less duplication of services. FY 98-99 training expenses decreased by 33 percent while the total number of trainees increased by 39 percent. During the same period, total training hours increased by 12 percent and number of programs offered increased by 49 percent.

Strategic Planning

Resource Development

DMHAS has placed an increased emphasis on securing new resources to support activities and services in FY 98-99. In addition to recent awards of \$22 million in federal and private foundation funds, DMHAS has submitted five new federal funding applications totaling over \$5 million. This proposed funding would support: (1) the North End Network project, a coordinated community-based response to effectively address the critical substance abuse treatment and HIV/AIDS service needs of African American men; (2) the Young Offender Model project which would increase the department's capacity to effectively meet the substance abuse treatment and supportive services needs of Hispanic/Latino and African American young offenders (aged 16-21); (3) the Latino Family Connection Program which intends to replicate a culturally appropriate Strengthening Families Program for Hispanic/Latino children of substance abusing parents; (4) the African-American Family Connection Program which represents a culturally appropriate Strengthening Program for African American children of substance abusing parents; and (5) the Exemplary Practices Project for Hispanic/Latino Clients with Dual Disorders, which would stimulate the adoption of a dual diagnosis model for Hispanic/Latino clients with co-occurring mental health and substance abuse disorders. Award notifications regarding these funding applications will be received by September 1999.

DMHAS continues to pursue new funding opportunities, with special attention to funding by private foundations. The department has also benefited from significant new technical assistance resources provided by the federal Center for Substance Abuse Treatment that have supported efforts such as a statewide conference on youth treatment issues and development of collaborative contracts for state agencies.

Revenue Collection

Department-operated programs are estimated to generate approximately \$19.4 million for collection by the Bureau of Collection Services. These revenues include third-party reimbursement from Medicare/Medicaid and private insurance. DMHAS inpatient programs generate additional federal financial participation under the Disproportionate Share Payments to Hospitals Program. During FY 1998-99, this amounted to approximately \$50.1 million.

DMHAS Information Systems and the Year 2000

The Department of Mental Health and Addiction Services is replacing and enhancing its core data applications and operating systems as part of its DMHAS 2000 Project. Efforts to date are on track for Y2K compliance without service interruption into the next century. New core information systems which support the administrative functions of state-operated inpatient and outpatient facilities will be implemented in October of 1999. The clinical phase of the system that supports clinicians and their clients with assessment and treatment planning tools begins in August of 1999, with full implementation in early 2000.

Over the past several years, DMHAS has been engaged in the planning and development of a publicly managed system of care. Agency efforts in this area are designed to ensure an improved system of care which both promotes recovery and is cost-effective. Based on the results of a public managed care feasibility study and a planning process which included the input of a wide cross-section of individuals, DMHAS has developed a model which uses an integrated service system to incorporate the delivery of high-quality and cost-effective mental health and addiction services. Support for a distributed service system which combines state and private resources is in the planning stage and also involves a good cross-section of end users and others.

DMHAS has placed new emphasis on better use of information. Reports in a user-friendly format are now routinely developed, analyzed and broadly disseminated to policy makers. These information reports help to direct informed policy for prevention and treatment issues.

The Office of Behavioral Health, in conjunction with other DMHAS divisions, has initiated two major information system efforts that are designed to improve the ability to monitor client care, outcomes and provider effectiveness. The "provider system" is dedicated to the department's role as an actual provider of services, and the "payor" system is designed to capture client-related data from the agencies with which we contract for service delivery. These are designed to replace statewide client-related information systems that are not Y2K compliant, and both systems will be operational by October 1999.

Research

DMHAS is a nationally recognized research leader among state mental health and substance abuse agencies. During FY 98-99, \$2.5 million in federal funding was received to support research projects in several areas critical to decision-making, including: treatment for co-occurring mental health and substance abuse disorders; use and effectiveness of novel anti-psychotic medications; supported housing for homeless persons with mental illness; criminal justice diversion programs; consumer-operated service programs; development of service quality indicators; treatment for substance abuse problems; and prevention of substance abuse.

Many of these projects are undertaken through a partnership between on-site researchers and investigators at area institutions of higher learning, such as the University of Connecticut Departments of Psychology and Psychiatry, Yale University, Dartmouth College, and the Mt. Sinai School of Medicine. DMHAS continues to conduct research to understand the processes underlying mental illnesses and substance abuse, and to evaluate new techniques to respond to them.

The Division of Education and Training implemented three separate training efforts to promote cultural competence throughout the DMHAS system during the past year. A total of 571 participants were trained, including DMHAS staff, consumers, family members, private providers and Connecticut citizens. Additional training events are being developed for future presentations.

Information Reported as Required by State Statute**Affirmative Action**

The Department of Mental Health and Addiction Services' Affirmative Action policy promotes commitment and action. Department efforts continue to be successful in all areas, as evidenced by the continued 100 percent approval rating of DMHAS Affirmative Action Plans submitted to the Commission on Human Rights and Opportunities. The DMHAS policy against discrimination includes protection against discrimination on the basis of race, national origin, sex, religion, disabilities and sexual orientation. The department has an employment plan which encourages people with psychiatric disabilities and/or addictions disorders to apply for DMHAS positions.

The Director of Affirmative Action functions as the Americans with Disabilities (ADA) Coordinator to ensure that DMHAS fulfills the requirements of the law and that ADA training is available for all Human Resources staff. During FY 1998-99, Sexual Harassment training continued as an ongoing departmental endeavor. As required by Section 46a-54 (15)(A) of the Connecticut General Statutes, DMHAS provides Sexual Harassment training for all supervisory and management staff.



Department of Mental Retardation

At a Glance

PETER H. O'MEARA, Commissioner

Established - 1975

Statutory authority - CGS Chap. 319b-319c

**Central office - 460 Capitol Avenue,
Hartford, CT 06106**

DMR Web address - www.state.ct.us/dmr

Number of full-time employees - 4,519

Number of clients served - 14,337

Recurring operating expenses - \$579,294,190

Organizational structure - Central Office includes the Office of the Commissioner which oversees planning and development, quality assurance, constituent services and communications, family and individual supports, affirmative action, legislation and regulatory review, health and clinical services, revenue enhancement, audit, human resources, fiscal administration, facilities management, the birth to three system, information systems, investigations and forensic services. There are five regions and various campus programs throughout the state.

Mission

The mission of the Department of Mental Retardation is to join with others to create the conditions under which all people with mental retardation can experience presence and participation in Connecticut town life, opportunities to develop and exercise competence, opportunities to make choices in the pursuit of a personal future, good relationships with family members and friends and respect and dignity.

Statutory Responsibility

The Department of Mental Retardation, with the advice of the Council on Mental Retardation, is responsible for the planning, development and administration of complete, comprehensive and integrated statewide services for persons with mental retardation and persons medically diagnosed as having Prader-Willi Syndrome.

DMR provides services within available appropriations through a decentralized system that relies on private provider agencies with which the department contracts. These services include residential placement, day programs, early intervention, family support, respite and case management.

Public Service

The department published and distributed the third edition of the Family Members Handbook, including a version printed in Spanish as well as English.

The department continues to expand the availability of respite services to families through respite care centers, direct services of DMR staff, the TANF respite program, contracts with respite agencies, and subsidies to families.

The department improved recreation and leisure services available to Connecticut's citizens who have disabilities by enhancing the operations of Camp Harkness, establishing an advisory committee for the camp, and completing major renovations to upgrade camp buildings.

Recreation services were provided to an increased number of families and consumers through department recreation and leisure staff, community development activities, camp programs, and a grant to the Connecticut Special Olympics program.

The department provides financial support to the Best Buddies Program to develop social interactions between people with and without disabilities.

The department is taking the lead in establishing an interagency task force to look at how the State of Connecticut can improve upon services to families with autistic children "so we, along with our sister agencies and members of the General Assembly, can identify what steps need to be taken."

Improvements/Achievements 1998-99

For FY 98 and FY 99, \$15.3 million in new funds have been appropriated for waiting list services. DMR set a goal of 736 residential and day opportunities. To date, we served 1,091

people including placements for all school graduates.

The department created a Waiting List Focus Team to recommend future strategies to address the needs of people on the waiting list. Members represent consumers, families, advocacy groups, providers, the legislature, District 1199 Health Care Union, the Office of Policy and Management, and DMR staff.

The department generated \$263.77 million in federal Medicaid reimbursement. A significant portion of the more than \$70 million increase from FY 98 was produced by increased participation in the Home and Community Based Services Waiver. This waiver allows for federal reimbursement for residential habitation, day programs, and support services provided in the community. Over 4,500 people were participating in the Home and Community-Based Services Waiver at the end of FY 99. Reimbursement of \$6.7 million was received for the Birth to Three System for current and retroactive services.

The department continues to expand service options including individualized supports whereby supports are individually tailored and individuals with mental retardation and their families are involved in planning, designing, and purchasing supports. The department sponsored a conference in June showcasing the "self-determination" approach to service delivery.

The department collaborated with the Department of Children and Families to develop an interagency agreement to outline each agency's responsibilities for children whose service need cross the boundaries of both agencies.

Reducing Waste

In partnership with the General Electric Corporation and the State of Connecticut Office of Policy and Management, DMR continues working to develop and implement business plans for using advanced technology to increase our overall efficiency, particularly in fiscal and personnel matters. Of special importance in reducing waste will be the forthcoming reorganization of DMR, which relies heavily on improvements in the technological infrastructure. During this past year, DMR placed special emphasis on developing a plan to improve the technology with which it conducts business, especially to curtail or eliminate activities and functions that are duplicative and repetitive within the organization. DMR envisioned that the increased efficiency will not only cut back on waste, but will heighten the agency's capacity to deliver services at lower administrative cost. Toward this end, the plan for reorganization called for needed technological improvements, improvements that have been authorized by DMR's budget for state fiscal years 2000-2001.

In another area, DMR reduce waste by seeking and obtaining reimbursement for services from third parties, especially insurance carriers. In the past year, we obtained \$1.9 million in reimbursement.

DMR also prides itself in having the most efficient management-to-worker ratio of any state agency. Approximately 97 percent of our employees are employed in service delivery or support, while only three percent are managers.

Strategic Planning

The department, through the Community-Based Waiver and ICF/MR programs, will continue to: expand the variety of personalized supports and individualized budgets; redistribute resources and improve associated fiscal accountability mechanisms; improve the overall quality of services through quality of work life initiatives; develop, test, and implement automated systems that improve the department's operations and decision-making; improve supports and services, increase interactions with the local community; maximize the return of federal revenue to the state; and meet all mandates identified in the FY 98-99 budgets and court orders.

Information Reported as Required by State Statute

Affirmative Action

The Department of Mental Retardation hires employees in accordance with principles of affirmative action and encourages the promotion of women and minorities after they join the workforce. It is the objective of the department to achieve the full and fair participation of women, blacks, Hispanics, persons with disabilities and other protected groups in our workforce as set forth in Conn. Gen. Statutes Sec. 46a-60.

In line with this commitment, the department will not knowingly do business with any contractor, sub-contractor, bidder, or supplier of material who discriminates against members of a protected class.

Affirmative action and the provision of equal opportunities for advancement are immediate and necessary objectives for the department. These objectives are commensurate with the state's policy of compliance with all federal and state constitutional provisions, laws, regulations, guidelines, and executive orders that prohibit or outlaw discrimination. This applies to all aspects of the employment process including recruitment, selection, hiring, training, promotions, benefits, compensation, layoffs, and terminations. The implementation of the department's affirmative action plans has as its primary goal to eliminate under-utilization of, or discrimination against, protected class persons in all aspects of the above. Further, the department pledges affirmatively to provide services and programs in a fair and impartial manner.

Developmental Disabilities

The Council on Developmental Disabilities is an independent entity, operating under the federal Developmental Disabilities Act (PL 104-183), composed of Governor-appointed members, and attached administratively to the Department of Mental Retardation. The mission of the Council is to promote full inclusion of all people with disabilities in community life. In 1998-99, the Council's budget was \$456,726 for initiatives on the Americans with Disabilities Act, empowerment and leadership development, home ownership, inclusive education, intermediary services, and transition from school to work.

Military Department

At a Glance

MAJOR GENERAL

WILLIAM A. CUGNO,
The Adjutant General

Brigadier General George A. Demers,
Assistant Adjutant General - Air
Vacant, *Assistant Adjutant*
General - Army

Established - 1949

Statutory authority - CGS Title 27

Central office - 360 Broad Street,
Hartford, CT 06105

Number of employees - 111

Recurring operating
expenses- \$15,445,131

Organizational structure - Office of the
Adjutant General, Business Administration,
Military Administration, Property
and Procurement, Air National Guard,
Army National Guard and the Organized
Militia and United States Property and
Fiscal Office.

Mission

Protect life and property and preserve peace, order and public safety. The principle component of the Military Department is the National Guard. It augments state and local civil authorities in case of emergencies beyond their capabilities and provides assistance to local areas through community service programs. The National Guard also performs its federal mission as the primary augmentee to the active federal military forces.

Statutory Responsibility

Authority and responsibility for the Military Department is contained in Title 27 of the General Statutes. The Department's principle public responsibility is to serve as the protector of citizens and their property in time of war, invasion, rebellion, riot or disaster. It serves as the main source for the Governor in ensuring public safety in a variety of emergencies. The basis for the Military Department rests on the foundation of the citizen-soldier serving his community.

Public Service

The citizens of Connecticut are the main beneficiaries of services provided by the Military Department. As the Department's chief customers, citizens of Connecticut continue to be provided the protection of life and property, assistance during natural and man-created disasters and support of communities in ceremonial events, youth programs and counter drug operations. The Connecticut National Guard services the citizens of our state by providing an alternative to full-time military support and all benefits associated with it.

Improvements/Achievements 1998-99

The Youth Camp sponsored by the Connecticut National Guard Family Support Program continues to grow and produce resounding results. The Connecticut Air National Guard-backed Aviation Career Education Camp, recognized by the US Department of Transportation and Federal Aviation Administration, provides outstanding opportunities to Connecticut's youth in the fields of science and mathematics. The 103d Fighter Wing deployed operational elements to support Southwest Asia (Kuwait) in support of "Operation Guarded Skies." The 103d Air Control Squadron answered a Presidential Selected Reserve Call-up (Kosovo) deploying to Italy in support of "Operation Allied Force." The Connecticut National Guard Counterdrug program reached 21,000 youth with anti-drug programs and assisted law enforcement agencies seize \$24 million dollars of illicit drugs. The program hosted 15 distance learning classes for Law Enforcement and community based organizations in which 125 personnel were trained. The Distance Learning Center at the Hartford Armory successfully hosted many training sessions for organizations and groups throughout Connecticut.

Environmental Management

Connecticut was one of five test states selected to field the Hazardous Substance Management System, a system designed to track the usage of hazardous materials from request to final disposition. The Guard was also selected as the test state to field vehicle mounted solar battery chargers to all its vehicles.

Strategic Planning

The strategic plan describes the future direction and collective interest of the Military Department as an integral part of the Total Force. The plan is designed to help the state focus its military planning in a manner that supports long-term military objectives, and the process provides the forum for senior military leadership to focus on the long-term direction of the military, to debate critical issues and to develop consensus.

Air National Guard

The Connecticut Air National Guard, consisting of a Headquarters, the 103rd Air Control Squadron and 103rd Fighter Wing is currently authorized 1,150 personnel. The Headquarters develops policies and insures compliance with Air Force policies and regulations. The 103d Air Control Squadron controls Air National Guard and Air Force aircraft. Over 1,000 weapons-controller missions were conducted this year. The 103rd Fighter Wing's A-10 Thunderbolt II aircraft ("Flying Yankees") fly a combination of day and night attack and combat search and rescue missions. This past year, the 103rd Fighter Wing has flown over one million accident-free flying miles while conducting actual combat and training sorties. Air National Guard facilities at Bradley International Airport consist of 144 acres and 31 permanent buildings valued at \$75.8 million. The 103rd Air Control Squadron in Orange consists of 22 acres of federally-owned property and 13 buildings valued at \$11 million.

Army National Guard

The Connecticut Army National Guard consists of the Headquarters, State Area Command with nine subordinate separate units; two major commands: the 85th Troop Command with six subordinate elements, and the 143d Area Support Group with 12 subordinate elements; an Army Aviation Support Facility; nine Organizational Maintenance Shops; an Army Aviation Support Facility; a Combined Support Maintenance Shop; an Aviation Classification Repair Activity

Depot; a Unit Training and Equipment site; three field training sites and one outdoor rifle range. Under state control are over 250 buildings and facilities, including 23 armories. The Army National Guard has authorization for approximately 4,400 personnel. The State of Connecticut Tuition Waiver Program continues to be an incentive to enlistment, along with bonus programs and the Montgomery GI Bill.

Plans Operations, Training and Military Support

The National Guard supported local communities by approving 120 requests for loans of Army equipment, civic action programs, concert performances and parade participation. Federal funding of more than \$12 million was spent on two-week annual training and weekend drill training, and \$1.5 million was spent on formal military school education. Overseas training was conducted in Honduras, the Dominican Republic (in support of rebuild operations for Hurricanes Mitch and Georges), Germany, Panama, Korea, England, Iceland, Romania, Guyana, and Canada. Connecticut soldiers were also deployed to California to build United States and Mexico Border Patrol fences. The National Guard Counterdrug Program provided \$955,000 in federal support to Connecticut's drug interdiction and demand reduction activities. The Project Northstar program coordinated distribution of \$14 million worth of excess Department of Defense property to local law enforcement agencies. Counterdrug Youth Programs reached over 19,000 Connecticut youths from 88 towns and 70 schools. The National Guard's Drug Demand Reduction Programs received formal recognition from the Drug Abuse Resistance Education (DARE) Officer's Association, Federal Aviation Administration, the United States Attorney's Office – District of Connecticut, and the cities of Bridgeport, Groton, Hartford, New Britain and New Haven. The National Guard and the Drug Enforcement Agency co-sponsored a Tactical Team Training Course for 22 law enforcement agencies and hosted 15 satellite down link sessions for law enforcement and community based organizations, which resulted in having more the 125 people trained in counter-narcotic related subjects.

Aviation Section

The Army National Guard Aviation Program consists of two aviation battalions and the Aviation Classification Repair Activity Depot. Connecticut's aviators performed a total of 4,000 flight hours in support of the aircrew-training program.

Human Resources Office

The Connecticut Army and Air National Guard is maintained by a complex full-time workforce that consists of 563 military and civilian federal technicians and 364 Active Guard/Reserve Soldiers and Airmen. The federal government provides an annual budget of over \$50 million to the State of Connecticut for their salaries. The Human Resources Office provides critical services to these employees such as career management, job training and qualification, employee assistance, medical care, retirement counseling and career transition counseling. The Human Resources Office also provides facilitation in organizational staffing, position classification, labor relations, workplace violence and drug awareness.

Equal Opportunity

Minority membership in the Connecticut Army and Air National Guard is represented at 19 percent and 14 percent respectively. Local events are held that specifically address ethnic observances in support of minority goals. These events, such as Black History Month, include affairs that emphasize the importance of our African-American and Hispanic-American Communities to our National Guard. Active participation in national events is another highlight of our commitment to our minority members. The Guard has been pro-active in submitting nominations for well-deserving minority soldiers to national events.

United States Property and Fiscal Office

As agents of the Chief, National Guard Bureau, United States Property and Fiscal Officers implement the policies of the Department of Defense and the National Guard Bureau as they pertain to federal property and budget allocations for support of the Army and Air National Guard of Connecticut. They receive and account for all federal funds and property in the possession of the state's National Guard and ensures federal funds are obligated and expended in

conformance with applicable federal statutes and regulations.

Analysis and Internal Review Division

This division's role is to assist management in administering and monitoring the utilization of federal resources. It does this by conducting internal reviews and audits of various functional areas (12 this year).

Comptroller Division

The Comptroller Division processed over 332,000 transactions, maintaining budget and accounting records for several major appropriations. The Budget and Fiscal Accounting Branches are responsible for maintenance of financial records and accounting for all federal funds received by the Connecticut National Guard. The Payroll Branch processes more than 9,876 pay transactions, 380 pay vouchers and 240 travel vouchers each month, as well as Annual Training payrolls, payroll services for 4,027 assigned soldiers and 740 transactions per month for technician pay.

Data Processing Activity

The Data Processing Activity provides information management services to the United States Property and Fiscal Office. Programs currently in place provide support in the areas of logistics, budget, personnel, payroll, maintenance and training.

Purchasing and Contracting Division

The Purchasing and Contracting Division and the Base Procurement Office awarded over 962 contracts for construction, design, supply and services for the Army and Air National Guard valued at over \$5.7 million.

Logistics Division

The Logistics Division consists of four branches. Stock Control accounts for materials in stock and manages funds allotted for acquisition of supplies, equipment and services. Supply warehouses and delivers supplies in support of all Army National Guard units. Property Asset Management maintains the accountability of all major items of equipment and controls equipment distribution to ensure the readiness of the units. Transportation is responsible for all commercial movement of personnel and equipment. The current inventory value of over \$6 million in warehouse assets is used to support daily operations and over \$180 million worth of equipment.

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Department of Motor Vehicles

At a Glance

JOSÉ O. SALINAS, *Commissioner*

Gary J. DeFilippo,
Deputy Commissioner

Anthony D. Portanova,
Deputy Commissioner

Established - 1917

Statutory authority - Title 14: Connecticut General Statutes

*Central office - 60 State Street,
Wethersfield, CT 06161-0001*

Number of employees - 734 (full-time)

*Recurring operating expenses -
\$74.6 million*

Organizational structure - Three Bureaus directly administered by two Deputy Commissioners and the Chief Administrative Officer

Mission

To deliver high quality, innovative services to our customers and to promote highway safety for the public. Our vision is a continuously improving DMV, without walls, without lines and within budget.



Statutory Responsibility

The Department of Motor Vehicles (DMV) has a number of major responsibilities which include the following: to perform public safety functions through enforcement of the statutes regarding motor vehicles and their operation; to issue credentials for motor vehicle operators, their vehicles and for companies involved in vehicle-related businesses; to impose sanctions on those who violate laws and regulations; to collect revenue, part of which is allocated for the construction and maintenance of highways; and, to collect and maintain records on operators, vehicles and revenues, making such available to authorized persons and agencies. Although not a statutory mandate, DMV considers the responsibility to accomplish these in as effective, convenient and courteous a manner as possible for its customers, as though it were. Well-maintained roads, competent drivers and mechanically safe vehicles are beneficial to all who use the highways, whether as drivers, passengers or pedestrians. Equitably regulated enterprises and accessible information on vehicle ownership are advantageous to all who conduct motor vehicle-related business in Connecticut. DMV's continuing efforts to provide innovative service allow customers increasing opportunities to choose what is most convenient and appropriate for them.

The following statistics are offered to give an idea of the scope of this agency's activities:

- There are 2.7 million registered motor vehicles in Connecticut;
- There are 2.3 million licensed operators in Connecticut;
- From July 1, 1998 to June 30, 1999, the agency collected \$333.3 million in revenue.

Public Service

In an effort to provide quality service to its customers, DMV maintains 11 full-service branch offices, three satellite offices (full-service with limited hours), four photo licensing centers, two popular photo licensing buses and one brand new Winnebago operating at 19 locations statewide. In addition, DMV shares its photo licensing operations with a number of AAA offices. These alternatives in the delivery of service are offered during customer-friendly hours and provide easy accessibility for motorists.

One photo license bus also visits the corporate headquarters of various Connecticut firms. This bus is equipped for processing license renewals and vehicle registrations primarily for their employees, at their place of work. The corporations utilizing this convenient, customized service pay DMV's operating costs. The customized buses also participate in special events, such as the Eastern States Exposition (The Big E) and the Hebron Harvest Fair.

DMV continues to expand and improve the range of services available at branch offices. Duplicate Connecticut titles as well as driver histories are available at each local DMV office. Previously, these services were only available at the central office in Wethersfield.

DMV takes its role as the "Face of State Government" very seriously and actively solicits suggestions from customers, evaluating such for their viability for improving service. A majority of customers surveyed, 63 percent, are *totally* satisfied with the services provided by DMV while an additional 26 percent are satisfied. On a regular basis, members of the DMV staff address outside groups to inform them about the agency and its array of services. These ongoing engagements enhance customer responsiveness and provide yet another visible example of DMV's commitment to its mission of excellence.

DMV continues to provide assistance to voter registrars, as mandated by the state and federal voter registration statutes. During the past fiscal year, approximately 14,829 individuals applied to register to vote through DMV licensing offices. These offices also afford the public a convenient means for enrolling as anatomical donors.

The DMV has been an active participant in the Governor's HELP (High Efficiency Licensing Program) project which seeks to make dealing with state agencies a little less mysterious and cumbersome. The agency also maintains a presence on the new CLIC (Connecticut Licensing Information Center) website and may be accessed at <http://www.state.ct.us>.

The agency's Dealer On-Line Leasing Program which enables leasing companies and dealerships to interact directly from their places of business, with DMV's database for vehicular registration/renewal, has been a tremendous success and continues to expand. This program has significantly reduced customer wait times in DMV branch offices and includes the participation of a number of Connecticut's largest corporations that maintain fleets of vehicles. Many of the on-line dealers are trained in vehicle inspection in order to perform such for their own vehicles and verify vehicle identification numbers, thus reducing the number of trips normally necessary for dealers to make to the DMV. Also noteworthy is the amount of money recovered for consumers by the Dealers and Repairers Division, specifically, \$715,000 during Fiscal Year 1998-99.

Improvements/Achievements 1998-99

During Fiscal Year 1998-99, the DMV continued to improve agency processes through utilization of the Business Process Management (BPM) method. This technique involves a multi-functional team of employees who analyze a selected process, recommend changes and then proceed to implement them, all within a three week period. The areas for which BPM's were conducted, include: Customer Correspondence; Insurance Compliance; Forms Acquisition and Design, and the Manual Dealers Unit. Among a number of positive results, DMV realized a substantial savings in postage for two of the BPM projects, and a reduction in processing time and the elimination of backlogs for all four projects.

DMV continues to expand its Home Page, which provides customers with the gamut of our varied services via the Internet. The DMV website address is www.dmvct.org. Information about boating, branch offices, copy records, dealers/repairers, emissions, handicapped services, licensing, on-line forms and informational flyers, vehicle inspection, registration and taxes is available at this site. Also, many of the branch offices are now equipped with new kiosks that offer access to the DMV website as well as to the Connecticut Labor Department. Future projects include the possibility of an on-line registration system, whereby customers could process simple vehicle registrations via the Internet. Similarly phone registration capability is also being examined.

The DMV has developed a new program in partnership with American Express for the replacement of lost or stolen licenses. Also, multiple townships currently utilize our registration records in order to obtain tax information.

As of January 1, 2000, all standard issue registration plates will be available to customers in the reflectorized safety plate style in which the "Long Island Sound" series, "UCONN - National Champions", "Greenways", and "Animal Population Control" are currently offered. The DMV anticipates issuing two additional specialty plates, "Amistad" and "Paratroopers" in the near future.

The Commercial Vehicle Safety Division (CVSD) implemented the Heavy Duty Diesel Emissions Program, the first of its kind in New England, on April 5, 1999. Also, after receiving

additional federal funds, the agency expanded its support of the project entitled Commercial Vehicle Information Systems and Networks (CVISN), which enhances data flow between various state agencies, other states and the federal government regarding the commercial trucking industry. This division of Motor Vehicles operates the Union Weigh/Inspection station, other fixed inspection stations as well as inspection sites at roadside locations throughout the state. At these stations, division staff perform inspections of commercial and public service vehicles in addition to school buses. Also, CVSD continues the destination safety inspections of motor coaches arriving in the state. These inspections ensure the safe mechanical operating condition of these vehicles, enhancing the safety of those traveling in them and/or sharing the road with them. CVSD personnel also conduct training classes on commercial and student transportation safety issues and are instrumental in assisting state and local police departments with their mechanical expertise.

Other technology enhancements during this past fiscal year include on-going improvements to telephone systems and upgrades to telecommunications lines at branch offices to edify service to customers as well as provide faster transfer of data between agency locations. Significant progress was made in our Year 2000 Project and in the migration of our main frame computer operations to the State Data Center (CATER). The department has also established a Year 2000 Business Contingency Planning Team responsible for developing a list of possible mission critical scenarios or problems that might occur prior to, during or shortly after January 1, 2000, in order to anticipate and impede such or to plan remedial action.

The department successfully completed the transition back to a forty hour work week within the past year. Also, due to the overwhelming popularity of a coffee cart for agency customers which was introduced in the Norwalk Branch Office, the department intends to propose a similar premium service to customers in the New Britain Branch Office in the very near future.

The Insurance Compliance Division has prepared a tri-fold booklet about the state's mandatory Insurance Enforcement Program. It explains the procedures DMV follows and the requirements of the customer.

On the Emissions front, the State Legislature recently passed a law allowing emissions stations to conduct most vehicle inspections rather than the DMV branch offices. This law effectively reduces the cost of inspection and simultaneously relaxes the criteria determining which vehicles must be inspected. DMV took an important step to improve air quality for the State of Connecticut with the implementation of the Connecticut Automotive Inspection Requirement (CT-AIR) program, earlier this year. Better known as the ASM 25/25 Emission Inspection Test, it has proven to be a more effective screening method of high polluting vehicles.

Reducing Waste

DMV is constantly exploring avenues for reducing postage costs. In addition to technology enhancements and the use of zip code presort bar codes, the agency provides Connecticut automobile dealers involved in the on-line dealer registration system, with marker plates, registration stickers and emissions stickers. By doing so, this method has further reduced postage and handling costs in the amount of \$142 thousand.

The introduction of a new PBX telephone system for the Wethersfield Central Office has reduced systems maintenance costs as well as monthly telephone charges. The Wethersfield facility has been completely rewired for voice and data as part of this project which has resulted in substantial savings particularly when staff are moved and/or relocated. This wiring has also facilitated the flow of information and data between the various agency technology systems.

Finally, efforts are underway to reduce the number of forms utilized by the agency. Wherever possible, forms are being combined or eliminated, thus reducing paper and printing costs.

Strategic Planning

Strategic Planning, the process whereby specific initiatives and projects are identified along with applicable performance measures and are then assigned agency sponsors, supports the department's Core Business Processes which are: Regulation of Drivers; Regulation of Vehicles; Regulation of Motor Vehicle-related Businesses; and, Collection and Distribution of Revenues and Data. The DMV Strategic Plan is reviewed and adjusted quarterly and revised thoroughly on an annual basis. In partnership with IBM Credit Corporation which assists the agency in these strategic planning efforts, the DMV has successfully completed the plan for

Fiscal Years 1996/1997 through 1998/1999 with many significant accomplishments and, has developed a new plan for Fiscal Years 1999/2000 through 2001/2002. The major areas of focus continue to be: increasing customer/stakeholder satisfaction; enhancing public safety and protection; and instructing and supporting agency employees. To coincide with this latter goal, all agency employees attended a one-day Diversity Training Program entitled, "Maintaining A Respectful Workplace" which covered topics pertaining to diversity and sexual harassment. All agency supervisors and managers attended a two-day Leadership Training Program while an advanced, more intensive presentation was delivered to the senior managers. To this end, DMV has signed a partnership agreement with Connecticut State University (CSU) to support training initiatives, especially leadership development. In addition, agency supervisors are attending a 3-day workshop, the curriculum of which is intended to hone their supervisory skills. Finally, the agency has introduced its new Ethics Policy to all employees.

Affirmative Action

DMV recognizes affirmative action and equal employment opportunity as immediate priority objectives. The agency's commitment to both reinforces its goal, *the complete and equitable participation of all protected class members in the work force*. Consequently, the DMV does not knowingly conduct business with any contractor, subcontractor, or material supplier who discriminates against protected class members. Once again, the agency's affirmative action plan was approved by the Commission on Human Rights and Opportunities.



Connecticut Board of Parole

At a Glance

MICHAEL L. MULLEN, Chairman

*Central office - 21 Grand Street,
Hartford, CT 06106*

Established - 1968

Statutory authority -

CGS Sec. 54-124a - 54-131g

Average number of full-time employees - 72

Recurring operating expenses - \$6,848,582

Organizational structure - Office of the Chairman; Field Services Division; Hearings Division; Administrative Division and Research, Planning and Information Division



Mission

The Connecticut Board of Parole is committed to protecting the public by making responsible decisions regarding when and under what circumstances eligible offenders are to be released from confinement. Decisions are based primarily on the likelihood that offenders will remain at liberty without violating the law. The Board sets conditions and provides parole services in the community to manage risk and maximize the potential for offenders to remain crime-free.

The Board will seek to achieve its mission through fair and equitable decision-making policy that makes responsible use of available resources.

Statutory Responsibility

The Board of Parole (BOP) shall make release decisions based upon the likelihood that released prisoners will remain at liberty without violating the terms and conditions of their parole agreement and shall supervise those who are granted parole. Swift return to incarceration for non-compliance is understood by all parolees who receive liberty through the parole process.

Public Service

The Connecticut BOP is among the few paroling authorities nationwide which is responsible for both decision-making and field supervision of parolees. The agency maintains field offices in Hartford, Bridgeport and New Haven to supervise the parolee population throughout the State of Connecticut, as well as those individuals whose parole is supervised via the Interstate Compact. Support services, including the Hearings Division, are provided to the field offices and panel members through the Central Office. The role of victims is managed by the Vice-Chairman's office and is given the highest priority; not only during the hearing and decision-making phases, but also in field operations. A toll-free number is available to victims, nation-wide. The Parole Works Program, places parolees in a Department of Labor Program, and continues to maintain a high employment level of tax-paying parolees, or parolees performing community service projects.

Improvements/Achievements 1998-99

During fiscal year 1998-99 initiatives and achievements of the BOP included the following:

- Marketing and public/inter-agency education campaign for the BOP, which included the development and distribution of the BOP video and the Victim Services brochure, now both translated for Spanish-speaking citizens
- Administrative Review Hearings averaging 125 cases per month
- Development, publication and distribution of the BOP Statement of Organization and Procedure Manual for its panel members
- Addition of a violence prediction dimension to the Risk Assessment Instrument
- New Parole Reaching Out Program implemented in major Connecticut cities, where former inmates express to the youth population their prison experiences in hope of deterring the uprising of criminal offenses
- Continues to expand on inter-agency communication and cooperation – Victim Services, State's Attorney, Public Defender
- Publication and implementation of agency-wide Crisis Management Guide
- The BOP has successfully completed a two-year substance abuse managed care program for 350 parolees, in conjunction with the University of Connecticut and the Hartford Institute of Living

Strategic Planning

The goal of the BOP is to continue to improve its ability to effectively and efficiently carry out its general mission to keep the community safe, by continuing to assess how best parolees can be incrementally reintegrated into the community with the maximum benefit and minimum risk.

Information Reported as Required by State Statute

The Governor appoints Board members. The Chairman and two Vice-Chairs are full-time members of the Board. The Chairman, Michael L. Mullen, serves as the agency's administrative officer. Robert J. Moran and William P. Longo are currently serving as Vice Chairs. *In addition, the Board is currently comprised of the following members: Anthony C. Barbino of Bethlehem; Gregory B. Butler of Glastonbury; Cicero B. Booker, Jr. of Waterbury; Rubye Daniels of New Haven; Carmen F. Donnarumma of Waterbury; James Gatling of Southington; Daniel M. McCabe of Stamford; Robert Minch of Somers; Robert W. Neil of Bolton; Edward Simpson of West Simsbury; Gina Solak of Willimantic.*



Police Officer Standards and Training Council

At a Glance

T. WILLIAM KNAPP,
Executive Director

Established - 1965

Statutory authority -

CGS Section 7-294a-x

Central office - Connecticut Police Academy,

285 Preston Avenue,
Meriden, CT 06450

Number of employees - 27

Recurring operating expenses -
\$2,165,841

Organizational structure - Office of the Executive Director; Basic Training Division; Field Services Training Division; Management Services Division and Certification, Assessment and Audit Division



Mission

The Police Officer Standards and Training Council has a dual mission. First, it is committed to providing innovative, credible and responsive high quality basic, advanced and specialized training to Connecticut police officers in an economical manner and in amounts sufficient to enable them to acquire the knowledge and skills necessary to serve the public with commitment, empathy and competence.

The Police Officer Standards and Training Council is also committed to adopting and enforcing professional standards for certification and for decertification of Connecticut's police officers, in a manner consistent with the law, considerate of the regulated community and uncompromising as to basic values, and ethics.

Statutory Responsibility

Agency responsibilities are to provide basic police and in-service police training and set entry-level educational, licensing and training standards for all non-state police divisions, police officers in the State of Connecticut; accredit training programs offered to police recruits in police academies; control the certification of police instructors; establish procedures for certified review training; oversee and award credit for certified review training of veteran officers and recertify triennially those who qualify; and encourage the growth of professional development, and continuing education programs for police officers. In addition to town and city police, the Police Officer Standards and Training Council also regulates and oversees, the training of police personnel from the four police departments of the Connecticut State Universities, the University of Connecticut, Department of Environmental Protection Law Enforcement Unit; and numerous other state agency law enforcement units.

Public Service

The agency continually researches developments in the law enforcement field and communicates these updates to the police officers who perform the police service for the people in Connecticut's communities. The agency continually seeks evaluations of the services it provides from the police agencies, and officers it serves.

Improvements/Achievements 1998-99

The new, updated, content-valid Basic Law Enforcement Training program under development since 1996 (and constantly being updated) was finalized and adopted effective with the first class of probationary candidate officers starting after July 1. The post-academy, individu-

alized department field training program is in the process of being expanded from 80 hours to 400 hours. The acquisition of a custom designed and constructed data processing software system to enhance the agency's ability to coordinate its programs with the satellite academies and individual department training officers, is 66 percent to 75 percent complete. The certification portion of the new data processing system is 90 percent complete.

Reducing Waste

The agency continues whenever possible, to use, and to expand the use of, practicing police officers currently operating in the field, as part-time, adjunct instructors, (both paid and volunteers) saving, in this fiscal period, over \$150,000 in personnel costs.

Strategic Planning

The agency's planning function is performed by a Council subcommittee studying the issues and making recommendations to the full Council. The subcommittee recommended, and the full Council adopted, a proposal to perform a job task analysis of the function of first-line supervisor in the law enforcement units that come under the Council's jurisdiction and develop a standardized training curriculum for those first-line supervisors. This project will be initiated, and hopefully completed, within this fiscal year.

The members of the Council are: Chief Thomas E. Flaherty, Chairperson, Milford; Chief Joseph F. Croughwell, Jr., Hartford; Chief Douglas L. Dortenzio, Wallingford; Chief Dean M. Esserman, Stamford; Chief Edmund H. Mosca, Old Saybrook; Chief William B. Perry, Southington; Chief Anthony J. Salvatore, Sr., Cromwell; Chief Thomas J. Sweeney, Bridgeport; Mayor Philip A. Giordano, Waterbury; Carolyn J. Moffatt, Naugatuck; Professor Catherine M. Havens, Esq., University of Connecticut; Carol S. Bryan, Branford; Howard L. Burling, II, Waterbury; Kurt P. Cavanaugh, Glastonbury; Thomas P. O'Dea, Jr., Esq., Westport; Dr. Craig A. Zendzian, Southington and John M. Bailey, Chief State's Attorney. Dr. Henry C. Lee, Commissioner, Department of Public Safety and Michael J. Wolf, Special-Agent-in-Charge, Federal Bureau of Investigation, are voting ex-officio members.

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Office of Policy and Management

At a Glance

MARC S. RYAN, *Secretary*
 Pamela A. Law, *Deputy Secretary*
Established - 1977
Statutory authority - CGS Sec. 4-65a
Central office - 450 Capitol Avenue,
Hartford, CT 06106
Average number of full-time
employees - 176
Recurring operating expenses -
General Funds - \$167,355,252
(Includes \$135,773,508 Grants-In-Aid)
Private/Federal Funds-\$17,891,045;
Capital Outlay - \$8,000
Organizational structure - Office of the Sec-
retary, Division of Administration, Budget
and Financial Management Division, Office
of Finance, Intergovernmental Policy Divi-
sion, Office of Labor Relations, Policy De-
velopment and Planning Division, and Stra-
tegic Management Division

Mission

The Office of Policy and Management (OPM) reports directly to the Governor and provides information and analysis that the Governor uses to formulate public policy goals for the state. OPM also assists state agencies and municipalities in implementing policy decisions on behalf of the people of Connecticut. OPM prepares the Governor's budget proposal and implements and monitors the execution of the budget as adopted by the General Assembly and signed by the Governor.

Statutory Responsibility

OPM is responsible, as the Governor's staff agency, for policy and analysis in the areas of operating and capital budgeting, financial management, planning and policy development, intergovernmental policy, management, program evaluation, and for carrying out the wide range of other duties and responsibilities required in state statutes and as assigned by the Governor.

OPM works closely, under the Governor's direction, with the General Assembly, state agencies, municipalities and a number of other organizations and groups.

OPM is composed of seven divisions that report to the Office of the Secretary. The following is a brief description of the major responsibilities of each of OPM's divisions.

Administration. The Division of Administration delivers diversified services that provide OPM employees with the tools, environment, information and support to accomplish OPM's mission. The support services provided by the Division of Administration include accounting and audit, business operations, human resources, information systems support, internet planning and coordination, and staff development.

Budget and Financial Management. The Budget and Financial Management Division develops and implements the state's fiscal and program policies through the formulation of the Governor's Operating and Capital Budget Proposals and the execution of the budget as enacted by the General Assembly and signed by the Governor. In addition, the division provides ongoing comprehensive analyses, evaluation and recommendations to the Governor and the Secretary regarding the financial implications of state policies and practices.

Finance. The Office of Finance is responsible for helping to improve the core financial management policies and practices in all state agencies. The Office of Finance also provides financial advisory services to the Secretary relative to proposals which come before OPM for evaluation.

Intergovernmental Policy. The Intergovernmental Policy Division assists in formulating state policy pertaining to the relationship between the state and Connecticut's municipalities. The division's activities also include administering a number of municipal grants and property tax relief programs.

Labor Relations. The Office of Labor Relations is responsible for delivering timely and effective labor relations and collective bargaining services on behalf of the state employer in conjunction with executive branch agencies and other state agencies. The Office of Labor

Relations serves as the Governor's designated representative, through the Secretary, for collective bargaining matters for state employees in the executive branch, other than the constituent units of Higher Education, the State Board of Education, and the Division of Criminal Justice.

Policy Development and Planning. The Policy Development and Planning Division improves the effectiveness of state services by ensuring the efficient use of resources through research, policy development, and interagency coordination. The Policy Development and Planning Division also makes recommendations in the following areas: assets management; strategic information; criminal justice planning; human services; economic development; long-term care research and development; and special projects.

Strategic Management. The Strategic Management Division identifies, researches, and analyzes trends that are and will be the driving forces shaping the future and develops recommendations on how the delivery of state services must change in response to these trends. The Strategic Management Division is composed of two units: Management Analysis and Evaluation Unit, and Energy Research and Policy Development Unit.

Public Service

An important responsibility of OPM is preparation of the Governor's operating and capital budget proposals, and then implementation and monitoring of these budgets as adopted by the General Assembly and signed by the Governor. These budgets incorporate and reflect many of the policies of the State of Connecticut. The budget process provides an opportunity to encourage, evaluate and codify the innovations and changes necessary to reduce the costs and improve the efficiency of state government. Among the many related activities, OPM produces the Economic Report of the Governor, and is involved in collective bargaining policies and strategies.

Throughout the year, OPM conducts research and analysis and provides information needed by the Governor and the General Assembly to make decisions regarding the state's operations and its directions. In addition, OPM promotes change through interagency coordination when there is a need to improve, modify or eliminate programs and policies crossing agency lines. OPM is also frequently asked to lead, facilitate, or participate in specialized policy development, evaluation or the coordination of projects. The agency also administers a wide variety of state and federally funded grant programs.

During 1998-99, there was reorganization within OPM. The Energy Research and Policy Development Unit, which previously reported to the Policy Development and Planning Division, merged with the Management Analysis and Evaluation Unit to form the Strategic Management Division.

A way to gauge OPM's effectiveness is the degree to which the Governor's policies are incorporated into the state's budget, statutes and operations, and the degree to which state agencies are successful in carrying out these policies and meeting their goals. OPM's effectiveness is determined, in large part, by the quality of information and service provided to the Governor, General Assembly, state agencies, and others. Given OPM's role in the budget and operations of the state, measures of the quality and cost effectiveness of state services and indicators of the state's fiscal and economic health are also important guides to the agency's effectiveness.

Improvements/Achievements 1998-99

The following accomplishments and those listed throughout this report suggest the wide variety of activities carried out by OPM:

Budget Preparation, Development and Execution

- Managed the fiscal year 1998-99 General Fund Budget to an eighth consecutive surplus of nearly \$650 million while reflecting the Governor's fiscal goals of controlling expenditures and reducing taxes.
- Instituted the first sales tax rebate program that will return \$110 million dollars of state surplus to Connecticut taxpayers.
- Fully funded state's budget reserve to statutory limit of five percent of General Fund expenditures.
- Secured an upgrade of the state's credit rating from Standard and Poor's from AA- to AA.

Research, Analysis, and Policy Development

- Provided policy analysis and assisted in the enactment of legislation providing for the relocation and construction of a new state facility for juveniles to replace the existing Long Lane School campus.
- Participated in the development of a state report and passage of legislation to address the legal, financial and programmatic implications of the civil commitment of sexually violent persons.
- Participated in the development and management of the Adriaen's Landing capital project initiative in Hartford that includes the development of a multi-purpose stadium and convention facility for the state.
- Chaired newly created Long-Term Care Planning Committee that produced a preliminary plan for the service needs of elderly persons in Connecticut.
- Served as State Census Liaison providing assistance with Census 2000 activities including technical assistance to both government and business organizations, information workshops for local governments, and outreach efforts to promote census participation.
- Implemented elements of Connecticut's electric restructuring legislation. The restructuring legislation requires OPM to: (1) operate an electric purchasing pool for state operations, (2) aggregate into the pool means tested households, (3) assist municipalities who wish to aggregate, and (4) participate in the public information task force.
- Assisted in the development of a statewide violence prevention policy that will apply to all state employees.
- Negotiated successor contracts with AFSCME for the Clerical and the Social and Human Services bargaining units, which were approved by the legislature.

Assistance to State Agencies and Municipalities

- In coordination with the Department of Public Safety and the Department of Information Technology, established a statewide web based sex offender registry.
- Worked with the Department of Labor to implement Workforce Development Act and Welfare to Work grant.
- Coordinated activity of interagency workgroup that developed a Request for Proposals for the Assisted Living Pilot Demonstration Project to provide care options for Connecticut's elderly.
- Continued to assist the Department of Information Technology in the development and implementation of policies and procedures and provided extensive analysis regarding information technology related expenditures and the potential EDS contract.
- Assisted the Capitol Region Council of Governments through a collaborative agreement in the establishment of a prototype mobile data communications system that provides instantaneous information linkage between 40 municipal and state law enforcement agencies.
- Assisted Municipal Assessors in the implementation of the new Grand List coding system, which will significantly reduce the number of codes required, simplify local assessor workload, and provide more understandable information for property owners.

Grant Administration

- Municipal grant programs totaling more than \$448 million were administered to provide property tax relief for individuals, exemptions on new machinery and equipment, payment in lieu of taxes on state property and on private colleges and hospitals, and tax-exemptions for manufacturers in distressed and targeted communities.
- Administered approximately \$70 million in state and federal grants for programs of law enforcement, children and youth development, delinquency reduction, narcotics control, violence reduction, and summer youth recreation.
- Administered the first Rebate Program for Elderly Renter and Circuit Breaker Relief. Approximately 77,000 individuals or married couples were issued checks totaling approximately \$7.7 million dollars.

Reducing Waste

As part of its efforts through the budget process and its other activities to promote and find efficiencies in state and municipal government, OPM staff continue to work with the Governor and the legislature to find ways to achieve savings and control costs in state programs and operations. Examples include:

- Began development of an online directory of executive branch functions in all 50-state governments to provide links to all state websites related to policy analysis, planning, budgeting, management analysis, and evaluation.
- Developed and distributed a survey on strategic planning and performance measurements for all executive branch agencies.
- Continued work on a customer-driven licensing initiative involving clustering services by multiple state agencies with common customers. Specifically, the Smart Start business registration program was initiated assisting 80 new business start-ups with one stop appointments to complete their registration requirements.
- Continued development of an Electronic Government Program, in cooperation with the Department of Information Technology, Office of the State Comptroller and the Council of State Fiscal Officers, to automate state government forms from paper to an electronic format.

Within OPM, efforts to improve efficiency have yielded a 18.5 percent reduction in the average number of full-time filled positions since January 1995 as a result of the Governor's hiring freeze, OPM's job banking practices, the early retirement program, and an increased use of technology.

Strategic Planning

A major thrust of OPM activity is to spur strategic improvements throughout state government. State agency functions, operations and approaches tend to evolve over time. During fiscal year 1999-00, OPM will be emphasizing:

Long-term Care Alternatives. For the past several decades, policy-makers in Connecticut have approached long-term care as an all-or-nothing proposition. A low- to lower middle-income elder had to be well-enough to stay at home in his senior years. If not, the only available alternative was institutionalization in a nursing home. The need to fundamentally change this policy is necessitated by America's aging demographics. Because of technology and medical advances, America and Connecticut are aging. By 2030, more than 20 percent of the population will be 65 years or older. And with aging comes medical costs that dramatically increase over a lifetime.

OPM is spearheading the effort to provide alternatives to nursing home care by building on the continuum of care. These alternatives include access to home care as well as the creation of pilot assisted living sites in the state that would be funded through Medicaid waiver funds and rental assistance certificates. Licensed assisted living services agencies will provide nursing and personal care to individuals living in managed residential communities. These residential communities must meet specific requirements and furnish various community services including housekeeping, laundry, meals as well as service coordination.

The Assisted Living project will include a small existing 12-bed Norwich pilot and a minimum of three new sites with 300 slots to be determined through an RFP process, which will be issued early this spring. It is anticipated that choices of sites will be made sometime in the fall of 1999, with some assisted living slots opening in early 2000.

At the same time, OPM will be evaluating the enhancement of congregate services in order to provide other alternatives to long term care.

Distressed Hospitals. Prudent purchasers of health services have placed more and more pressure on hospitals to reduce costs while increasing the quality of care provided. In recognition of the need to assist hospitals in developing viable business strategies for the future, funding was provided in the budget for a loan program to hospitals. OPM and the Office of Health Care Access (OCHA) will be working with the hospitals to help them achieve financial stability and assure the delivery of appropriate health care services. Additionally funding was provided to evaluate the nature and extent of distress among the state's acute care hospitals and to facilitate the development of a comprehensive approach to the problem.

Strategic Information Technology (IT) Initiatives. OPM, in collaboration with the De-

partment of Information Technology (DOIT) and other state agencies, is working to develop multi-organizational enterprise solutions, which will deliver coordinated services to the public without a need to know the structure of state government. Efforts will be focused on assisting in developing or expanding a set of basic communications services on a statewide basis as well as the design and construction of statewide e-mail services to link all agencies.

The use of e-mail has become critical in communicating within agencies, between agencies and with the public. The State will be acquiring a server that will interface current operating systems and diverse e-mail systems. This will give agencies the capacity to manage segments of the technology in their native environment and upload electronically to a central statewide directory for all e-mail users. In addition, this server will act as a repository for digital certificates in the use of digital signatures associated with electronic commerce. It will also provide a method to look up and store organizational information associated with electronic forms. Internet services will be expanded over this period, providing additional functionality and connectivity to the state work force and the public.

Providing these communications services to all agencies will begin to enhance the framework for additional statewide services such as E-Government, which is based on the use of electronic forms, and HELP, the Governor's High Efficiency Licensing Program. The E-Government initiative will re-engineer state processes to further improve and simplify processing of information by automating routine state business among agencies, businesses, municipalities and citizens. Repetitive data entry will be minimized and the ability of multiple agencies to share information will be increased.

HELP provides a statewide internet-based system for licenses and permits that facilitates the identification of the regulatory requirements of multiple state agencies. The HELP Website, the Connecticut Licensing Info Center (CLIC), will be expanded to include business transactions between state agencies and the public. Businesses and individuals will be able to purchase and renew licenses and permits on-line using secure internet technology. The HELP initiative will also reengineer processes, review fee structures and consolidate or eliminate outdated licensing requirements. These improvements will also facilitate continued enhancements to Smart Start, the State's gateway registration service for small business.

Other Information: OPM is committed to complying with statutory requirements related to affirmative action and equal opportunity in employment and in the services it provides to the State of Connecticut. OPM continues to work towards its affirmative action goals; provides staff training regarding sexual harassment prevention, non-discrimination and AIDS awareness; and is complying with the Americans with Disabilities Act. Specifically, during 1998-99, OPM met 80 percent of its short-term employment goals and exceeded its Small Business and Minority Business Enterprise Purchasing/Contracting goals. In addition, OPM developed and designed a module on Respecting and Protecting Human Rights in Today's Workplace for its internal website. The module provides important Human Rights information in a centralized location for all staff to access, including links to external websites that can be used as ready resources.

During fiscal year 1998-99, OPM committed resources to manage the Year 2000 rollover challenges related to its hardware, software, embedded systems and business operations. The agency is on schedule for completing its Year 2000 project. Also during fiscal year 1998-99, OPM designed and developed an Intranet for exclusive use of its staff. The Intranet was designed to provide staff with an organized, easily accessible tool to obtain information on internal administrative policies and procedures as well as to improve internal communication.

For further information on OPM activities, visit the OPM website at <http://www.opm.state.ct.us>.



State Properties Review Board

At a Glance

ROWLAND BALLEK, *Chairman*
Lisa A. Musumeci, *Vice Chairman*
George D. Edwards, *Executive Director*
Established - 1975

Statutory authority - CGS Sec. 4b-3
Central office - 165 Capitol Avenue,
Room #123, Hartford 06106

Average number of full-time
employees - 5

Recurring operating expenses - \$441,332
Organizational structure - The State Properties Review Board consists of six members, appointed on a bi-partisan basis; three are appointed jointly by the Speaker of the House and the President Pro Tempore of the Senate; and three are appointed jointly by the Minority Leader of the House and the Minority Leader of the Senate. As of June 30, 1999 the members are: Rowland Ballek, Chairman; Lisa A. Musumeci, Vice Chairman; Pasquale A. Pepe, Secretary; Paul F. Cramer, Edwin S. Greenberg; and Bennett Millstein.

Mission

The mission of the State Properties Review Board is to provide oversight of State real estate activities, acquisition of farm development rights, and the hiring of architects, engineers and related professionals, as proposed by State Executive Branch agencies. In accomplishing this legislative mandate, the Board provides guidance and assistance to State client-agencies to ensure that transactions are done in a prudent, business-like manner, that costs are reasonable, and that proposals are in compliance with State laws, regulations, and procedures.

Statutory Responsibility

The Board reviews plans for transactions involving the acquisition, construction, development, assignment to, and leasing of offices and other facilities for various agencies of the State. The Board reviews proposals involving the lease or sale of State-owned real estate to third parties. The Board approves both the selection of and contracts with architects, engineers and other consultants for projects proposed by the Commissioner of Public Works.

In addition the Board reviews, evaluates and approves the acquisition of development rights for farm land proposed by the Commissioner of Agriculture.

The Board meets at least twice per week or as often as necessary to provide its services. The Board follows the Affirmative Action Plan prepared and administered by the Department of Administrative Services.

Public Service

In reviewing and approving the various transactions proposed by the client-agencies, the Board has the opportunity to modify and improve the proposals to ensure that they reflect market prices favorable to the State, make good business sense, and conform to State laws. The Board typically achieves quantifiable savings to State taxpayers of \$1.0 to \$10.0 million per year.

Improvements/Achievements 1998-99

A total of 631 proposals were reviewed by the Board, compared to 611 last year. The Department of Public Works submitted 41 percent of the proposals, while 57 percent came from the Department of Transportation, and 2 percent were from all other agencies. The average time to review these proposals was 11.46 calendar days (including weekends and holidays), compared with 11.47 days in 1997-1998 and 10.5 days in 1996-1997. Annual taxpayer savings in transaction costs achieved were again significantly in excess of the Board's budget costs.

Office of Protection and Advocacy For Persons with Disabilities

At a Glance

JAMES D. McGAUGHEY,
Executive Director

Stanley J. Kosloski, *Assistant Director*
Established - 1977

Statutory authority - CGS Sec. 46a-11 et. al.
Central office - 60B Weston Street,
Hartford, CT 06120

Average number of full-time employees - 50
Recurring operating expenses -
\$3,191,616

Federal contributions - \$1,013,895
Organizational structure - three
operating divisions and an
administrative unit: Case Services;
Community Development; and Abuse
Investigation.

Mission

The mission of the Office of Protection and Advocacy is to safeguard the civil and human rights of people with disabilities in Connecticut.



Statutory Responsibility

A combination of federal and state statutory mandates require the agency to:

- Provide information about disability rights and related issues, and referrals to sources of service and support;
- Safeguard the rights of people with developmental disabilities;
- Advocate for clients of the vocational rehabilitation system;
- Conduct investigations into allegations of abuse and neglect concerning adults with mental retardation;
- Advocate for people who are living in state institutions or who have transitioned out of such institutions;
- Advocate for people who are currently, or who are at risk of becoming inpatients or residents of mental health facilities;
- Advocate for people who are seeking assistive technology devices and services;
- Review, in conjunction with the State Building Inspector, applications to install wheelchair lifts in non-residential buildings, and requests for waivers from the accessibility provisions of the State Building Code;
- Review, in conjunction with the Secretary of State, requests for exemptions from access requirements for polling places.

Public Service

During FY 97-98, slightly over 7,000 individuals contacted Protection and Advocacy (P&A) for assistance. The vast majority of these callers were people with disabilities or their family members, although approximately 20 percent were social service agencies seeking assistance or reporting incidents on behalf of their clients, and another 10 percent were business persons, employers or government employees seeking information about legal requirements or resources available to assist with accommodations. Approximately 5,700 callers received information and referral services and/or short-term, one-time troubleshooting assistance. The balance was referred on to the Case Services Unit or the Abuse Investigation Division; 1,256 reports or allegations of abuse or neglect; 1,076 of which were determined to warrant some level of investigation. In addition, P&A sponsored or contributed to training initiatives in 1996-97 that reached 6,300 people.

Improvements/Achievements 1998-99

A significantly improved process for setting systems change and service priorities was implemented during the past year. The process included extensive input from agency constituents. Twenty-four public forums were held at different locations throughout the State and caseload

and intake statistics were analyzed to identify themes and issues. With assistance from the National Association of Protection and Advocacy Systems, this information was developed into a dozen proposals for possible priority projects. The P&A Advisory Board reviewed the proposals and the resources available to the agency, recommending adoption of six of the twelve possible projects. Agency staff was then assembled into self-directed work teams to implement the projects.

The Board recommended adoption of the following six priorities:

- Decrease exposure of people with disabilities to abuse and neglect.
- Protect the rights of people living in institutions.
- Pursue equal educational opportunities for students with disabilities, focusing on: 1) the effectiveness of agency outreach to under-served populations; 2) representation of students involved in or likely to be referred to the juvenile justice system or segregated, hospital based special ed. programs; and, 3) parent and student empowerment strategies.
- Monitor compliance with selected features of Titles II and III of the Americans with Disabilities Act.
- Protect the rights of parents with disabilities.
- Develop advocacy strategies to address the needs of people with disabilities who become entangled with the criminal justice system.

In addition, the agency established a website, posting announcements, answers to frequently asked questions, news about legislative and legal developments, etc.

Reducing Waste

Efficiency has increased as a result of establishing self-directed work teams comprised of staff from different areas of agency operations.

Strategic Planning

A process of strategic business planning, which is still in progress, was initiated during the reporting period.

Information Reported as Required by State Statute

By law, the P&A Annual report must include information that identifies current issues affecting people with disabilities in Connecticut. Based on topics identified as a result of public forums and a review of case experience, the following issues have been identified:

- Isolation of many people with disabilities from families and from communities in which they live;
 - Lack of awareness of basic human rights within service systems;
 - Discrimination in employment. This is especially acute for people with psychiatric and other "hidden" disabilities.
 - Inadequate and often inappropriate support services;
 - Prevalence of architectural and communications barriers in public and commercial buildings and professional offices;
 - Economic disincentives to productive employment, especially the potential loss of medical insurance for people with disability benefits.
-

Psychiatric Security Review Board

At a Glance

ROBERT S. BERGER, ESQ.,
Chairman
Established - 1985
Statutory authority -
 CGS Sec. 17a-581
Central office - 505 Hudson Street,
First Floor,
Hartford, CT 06106
Number of employees - 4
Recurring operating expenses -
\$264,780
Organizational structure -
One Administrative Unit

Mission

To protect the safety of Connecticut citizens and certain individuals by ordering appropriate treatment, confinement or conditional release of persons accused of crimes but found not guilty by reason of mental disease or mental defect.

Statutory Responsibility

The Board, through an administrative hearing process, orders the level of supervision and treatment for an acquittee deemed necessary to protect society. The Board, based on its legal findings on the danger that an acquittee poses, due to his/her mental condition, orders confinement in a maximum security facility, confinement at a hospital for the mentally ill, approves temporary leave for a confined acquittee, placement in the custody of the Commissioner of Mental Retardation or grants conditional release. In addition, the Board makes recommendations on the issue of discharge or continued confinement to the Superior Court.

Public Service

The general public is the beneficiary of the agency's work. Effectiveness of the agency's work is measured by the recidivism rate of this criminal population. During this fiscal year, there was one motor vehicle violation by a conditionally released acquittee, and one acquittee escaped from custody at Connecticut Valley Hospital. This fiscal year, there were no felony arrests.

During 1998-99, 179 persons were under the Board's jurisdiction. This fiscal year, five persons were committed to the Board by the Superior Court. Seven persons have been removed from the Board's jurisdiction, three due to death, two acquittees' commitment terms expired, and two acquittees were discharged by the Superior Court.

In 1998-99, the Board held 189 hearings and 58 case conferences resulting in 176 orders being issued. There was a 24 percent denial by the Board of applications for a change in placement or status of an acquittee. As of June 30, 1999, 172 persons were under the Board's jurisdiction. The status of these persons as of June 30, 1999 is as follows: 34 percent confined in maximum security, 45 percent confined at Connecticut Valley Hospital, 20 percent on conditional release, and one percent in custody of the Commissioner of Mental Retardation.

Improvements/Achievements 1998-99

- Assessed Y2K needs and secured resources for remediation.
- Worked with Department of Mental Health & Addiction Services (DMHAS) in addressing system issues, and increasing communication and compliance between the Board and DMHAS.
- Recommended changes to Megan's law to improve implementation for the Psychiatric Security Review Board population.
- Designed agency website and brochure to increase public awareness and promote education.

Initiated state-wide, quarterly All Treater's Meetings for conditionally released acquittees to promote risk management.

- Developed internal financial tracking system to ensure budgetary monitoring and compliance.
- Completed reorganization of medical and legal records, securing collateral documents for statutory compliance.
- Developed Disclosure Protocols for temporary leave and conditional release to minimize risk of dangerousness of acquittees and protection of the general public.

Reducing Waste

The Executive Director worked with the Office of the Attorney General in developing a process for stipulated hearings. This stipulated hearing process has increased efficiency of time, and reduced the cost of hearings.

Strategic Planning

The Board's strategic planning process includes a collaborative process with the Department of Mental Health and Addiction Services to improve its forensic services to this acquittee population. The goals and objectives include:

- To achieve 100 percent compliance with protocol for quarterly All Treater's Meetings.
- Improve compliance by state agencies regarding the implementation of Board Orders.
- Develop research methods and resources in collaboration with academic centers on outcome measures.

Information Reported as Required by State Statute

The Board members for 1998-99 were Robert Berger, Esq., Janet Williams, M.D., Julia Tamos Grenier, Ph.D., John Ryan, Sylvia Cancela and Susan Blair.

The Board is assisted by the Department of Mental Health and Addiction Services in meeting the Affirmative Action requirements of the statute and follows such regulations of the Department of Mental Health and Addiction Services.



Department of Public Health

At a Glance

JOXEL GARCIA, M.D., *Commissioner*
Norma D. Gyle, *Deputy Commissioner*
Warren Wollschlager, *Chief of Staff*
Established - 1878

*Statutory authority - CGS Chap. 368a,
Sections 19a-1a et seq.*

*Central office - 410-450 Capitol Avenue,
Hartford, Connecticut 06134*

Number of employees - 797

Recurring operating expenses -

Federal: \$74,206,919

State: \$64,948,355

Additional Funds: \$4,926,477

*Organizational structure - Affirmative
Action, Bureau of Administrative and
Support Services, Bureau of Commu-
nity Health, Bureau of Regulatory Ser-
vices, Office of Policy, Planning and
Evaluation, Office of Special Services*

Mission

*To protect the health and safety of
the people of Connecticut and ac-
tively work to prevent disease and
promote wellness through education
and programs such as prenatal care,
immunizations, AIDS awareness,
supplemental foods, and cancer
(mammography) screening; to moni-
tor infectious diseases, environmen-
tal and occupational health hazards,
and regulate health care providers
such as health facilities, health pro-
fessionals, and emergency medical
services; to provide testing and moni-
toring support through the state labo-
ratory; to collect and analyze health
data to help plan policy for the fu-
ture; and to be the repository for all
birth, marriage and death certifi-
cates.*



Keeping Connecticut Healthy

Statutory Responsibility

The Department of Public Health (DPH) is the state's leader in public health policy and advocacy. The agency is the center of a comprehensive network of public health services, and is a partner to local health departments for which it provides advocacy, training and certification, technical assistance and consultation, and specialty services such as risk assessment that are not available at the local level. The agency is a source of accurate, up-to-date health information to the Governor, the Legislature, the federal government and local communities; this information is used to monitor the health status of Connecticut's citizens, set health priorities and evaluate the effectiveness of health initiatives. The agency is a regulator focused on health outcomes, maintaining a balance between assuring quality and administrative burden on the personnel, facilities, and programs regulated. The agency is a leader on the national scene through direct input to federal agencies and the United States Congress.

Public Service

Program Areas

The DPH pursues its mission through an organization which reflects three major program areas: Prevention/Education, Regulation, and Planning.

Bureau of Community Health

Prevention/Education encompasses the concept of wellness and has as its primary objective the development and maintenance of a healthy individual. The Bureau of Community Health facilitates education and prevention efforts. These efforts begin with encouraging proper prenatal care, continue with prescribed immunizations, recommended diet and exercise, and proceed

through life with educating individuals to make choices which will enhance health and well-being. The bureau's initiatives aimed at accomplishing these objectives include maternal and infant care projects, health education, chronic disease, urban rural health projects, nutrition education, and enforcement of immunization statutes.

Prevention efforts are also aimed at reducing death and illness by: limiting the spread of infectious disease and diseases transmitted by contaminated food and water; reducing accidents and injuries; and assessing the health effects of toxic substances in the environment and protecting the public from exposure to such toxins. Agency initiatives aimed at accomplishing these objectives include: services to foster family health; epidemiological investigations including studies of accident and injury patterns and risk assessment of environmental contaminants and investigation of emerging infections problems; controlling the spread of tuberculosis and of sexually transmitted diseases; and prevention of HIV infection, as well as services for people with HIV infection and AIDS.

The Bureau of Community Health consists of the following divisions and programs:

Family Health Services Division

- Maternal & Child Health Unit
- Special Supplemental Nutrition Program for Women, Infants and Children (WIC) Program Unit
- School Based and Primary Health Care Unit

Infectious Disease Division

- AIDS Epidemiology and Perinatal Infectious Disease Prevention Program
- Epidemiology and Emerging Infections Program
- Immunizations Program
- Lyme Disease Surveillance and Prevention Initiative
- Sexually Transmitted Disease (STD) Program
- Tuberculosis (TB) Control Program

Environmental Epidemiology and Occupational Health (EEOH) Division

- Childhood Lead Poisoning Prevention
- Occupational Health & Special Projects
- Toxic Hazards Assessment

Health Education and Intervention Division

- Assessment & Surveillance Unit
- Chronic Disease Control Unit
- Health Promotion Unit

AIDS Division

- Prevention Education Services: Programs to support education of the community and of at risk populations about HIV/AIDS
- Prevention Clinical Services: Programs for HIV counseling and testing, access to substance abuse treatment, and syringe exchange programs
- Health Care/Social Services: Programs to care for people with HIV/AIDS and to help affected family members

Program Support & Contracts' Management Section

- Programmatic support to the Maternal and Child Health Services and the Preventive Health and Health Services Block Grants
- Development and management of approximately 400 human service, personal service contracts and Memoranda of Understanding
- Tuberculosis Payment Processing Unit
- Behavioral Risk Factor Surveillance Survey
- Abortion Reporting
- Oversight and technical assistance to the Health Professional Shortage Area redesignation process
- Fetal Infant Mortality Review program

- Healthy Start Data System Support

Bureau of Regulatory Services

Regulatory activities within the DPH are consolidated into the Bureau of Regulatory Services. This provides one focus within the agency for the protection of public health by ensuring competent and capable health care and environmental service providers. Across the bureau, this is generally accomplished through regulating access to the environmental and health care professions, and through regulatory oversight of health care as well as day care facilities and environmental services.

The bureau consists of five major program components which have responsibility for implementing state licensure and federal certification programs. The Division of Health Systems Regulation has overall responsibility for the regulation of health care and environmental professionals. The Division of Health Systems Regulation also has responsibility for the licensure of health care facilities and the certification of facilities eligible for Medicare and Medicaid reimbursements. The Division of Environmental Health regulates a number of environmental service suppliers, including water suppliers. The Division of Community Based Regulation has regulatory authority over day care providers, youth camps, mental health and substance abuse facilities and other community based providers. The Office of Emergency Medical Services has broad system development responsibilities with respect to the emergency medical service industry. The Legal Office provides prosecutorial support to the bureau.

Due to the regulatory nature of the bureau, expertise has been developed at several levels to address the need to investigate and take disciplinary action against suppliers/providers which are in violation of the law or otherwise posing a risk to public health and safety. Procedures consistent with the Uniform Administrative Procedures Act are utilized to prosecute these cases.

The bureau consists of the following divisions and programs:

Division of Health Systems Regulation

- Applications and Examinations of Health Care and Environmental Professionals for Licensure
- Investigations of Licensed and Certified Practitioners
- Licensing, Certification and Investigations of Facilities/Services, including:
 - Ambulatory Care
 - Clinical Laboratories
 - Emergency Medical Services
 - Home Care Services
 - Hospitals
 - Long Term Care

Division of Community Based Regulation

- Licensing, Certification & Investigations of Facilities/Services, including:
 - Behavioral Health (Mental Health and Substance Abuse)
 - Child Day Care
 - Intermediate Care Facilities for the Mentally Retarded
 - Residential Care Homes
 - Youth Camps

Division of Environmental Health

- Environmental Laboratories
- Food Protection
- Indoor Air
- Lead Environmental Management
- On-Site Sewage Disposal
- Water Supplies

Office of Emergency Medical Services (OEMS)

- Education and Training
- Equipment Grant Program

- Need for Service
- Rate Setting
- System Planning and Development
- Trauma System Development

Legal Office

- Legislative and Regulatory Support
- Prosecution

Office of Policy, Planning and Evaluation

The Office of Policy, Planning and Evaluation is the lead unit within the DPH for comprehensive health planning and the integration of health information networks that permit easy access and exchange of timely information between policy makers, local health officers, programs within DPH, and other state agencies, in support of improving health status and quality of health care for Connecticut's residents. The Office contributes to DPH's strategic capacity for decision-making and policy development by:

- providing integrated health information and analysis;
- obtaining relevant, reliable and valid data; and,
- assuring delivery of local public health services at the local level.

The Office of Policy, Planning and Evaluation is organized into the following units:

The **Planning and Analysis Unit** provides technical assistance and information to support the agency, other state agencies, government officials, local health directors, other community health providers and the public. The unit is responsible for state health planning; setting public health priorities; and developing policy recommendations regarding allocation of resources. The unit serves as the state contact for the *Healthy People* initiative and tracks progress on the *Healthy Connecticut 2000 Project*. It is also responsible for numerous research and data dissemination activities, including the development of health status indicators, vital statistics, health care services utilization, population estimates, and outcomes research.

The **Health Information Systems Unit** encompasses database design and development, data collection, data base maintenance, data integrity (quality assessment of the data elements) and, most importantly, data integration. Major data sources currently residing in the Office of Policy, Planning and Evaluation include Vital Statistics, hospital discharge data, and the Tumor Registry. The unit also coordinates the management of the department's Internet Home Page and directs the Human Investigations Committee which is responsible for protecting the confidentiality of identifiable health data collected by the department and used for health research activities. The Health Information Systems Unit includes the following sections:

- The **Vital Records Section** is the state's central repository for the collection and maintenance of all birth, death, marriage, adoption and acknowledgment of paternity data. During SFY'99 the section completed the microfilming of over 3 million of the more than 9 million vital records recorded by the department since 1897.
- The **Tumor Registry Section** is a population-based resource for examining cancer patterns in Connecticut. The registry's computerized data base includes all reported cancers diagnosed in Connecticut residents from 1935 to the present, as well as follow-up treatment and survival data on reported cases. All hospitals and private pathology laboratories in Connecticut are required by law to report cancer cases to the registry. The identities of all patients reported are protected by state confidentiality laws. The registry is also one of only five statewide designated surveillance, epidemiology, and end results (SEER) sites in the country. The National Cancer Institute provides funding to SEER sites which were selected for their ability to manage a cancer reporting system and to provide a representative subset of the United States population.

The **Local Health Administration Program** serves as the agency liaison with local health departments and Directors of Health and provides a variety of functions designed to strengthen and maintain local public health infrastructure in the state. It provides technical assistance and consultation to local health departments, assures that local health departments are in compliance with all applicable state statutes and regulations and resolves complaints about local health

departments. The program administers the per capita Grant in Aid to all local health departments in the state and collects and analyzes data on local health department activities through the Annual Report process. The program also reviews credentials of all Director of Health candidates and makes recommendations for the Commissioner's approval.

Public Service

Support Areas

The Office of Affirmative Action, the Bureau of Administrative and Support Services, and the Office of Special Services support the major program areas of the agency.

Affirmative Action

The DPH is strongly committed to the principles, policies and practices of Equal Employment Opportunity and Affirmative Action. This commitment underscores all aspects of the employment process, as well as programs and services provided by the agency. The Affirmative Action Office is responsible for the development and implementation of the following Equal Opportunity programs:

- Affirmative Action
- Contract Compliance
- Small Business Set-Aside
- Employee Assistance Program
- American with Disabilities Act Compliance

Bureau of Administrative and Support Services

The Bureau of Administrative and Support Services assures that the agency's financial and administrative activities are carried out in an efficient and accountable manner. This bureau has direct responsibility for the Fiscal Office, Contracts Administration/Audit, Data Processing, Human Resources, and the state Public Health Laboratory.

The **Fiscal Office** is responsible for the administration of budget planning and preparation, monitoring of state and federal grant expenditures, revenue accounting, accounts payable/receivable, payroll and purchasing. In addition, it is responsible for mail services, inventory control, and fleet management.

The **Contracts Administration/Audit Office** oversees the accountable administration of approximately 410 contracts with total funding of \$65 million, and performs internal audit functions. The office continues to be an active participant in OPM's Purchase of Service Task Force concerned with the contracting for client-based human services.

The **Data Processing Division** provides overall direction, planning, and administration for the data processing functions of the agency. The centralized Data Processing Division establishes agency standards, administers systems security, coordinates data processing procurement, and provides technology support and application support to agency programs and users.

The **Human Resources Office** provides human resource services to the agency's employees. This office provides a comprehensive personnel management program including labor relations for seven bargaining units and managerial/confidential employees, merit system administration, the Decentralized Promotional Examination Program, performance appraisal review, statistical personnel status reports, fringe benefit administration, classification work for appropriate job titles, and Performance Assessment and Recognition System for managers.

The **Public Health Laboratory** supports the needs of all communities in the state by analysis of samples and specimens submitted by state agencies, local health departments, law enforcement entities, and health care facilities and providers. The laboratory is comprised of the following services:

- **Biological Science Services** provides testing for bacterial, viral, fungal, and parasitic agents of diseases; serves as a reference center for microbiological aspects of infectious diseases; tests food and water for bacterial contamination; screens for eight genetic diseases of newborns; tests methodologies; and assists in the surveillance of diseases of public health importance.
- **Environmental Chemistry Services** evaluates toxic inorganic/organic chemicals in the air, river and lake waters, wastewater, drinking water, fish and shellfish, landfills,

industrial waste, spills, consumer products, and soils. A certified chemistry laboratory is maintained for drinking water, non-potable water, lead, industrial hygiene, and asbestos. The unit also provides monitoring data for state permit systems.

- **Toxicology/Criminology Services** analyzes and identifies chemical and drug evidence, analyzes human blood and urine for the presence of drugs, calibrates and certifies breath alcohol testing devices, trains the operators of such devices, characterizes serological and hair evidence associated with sexual assault crimes, and provides knowledgeable testimony in courts of law pertaining to these services. The unit also analyzes samples derived from children and adults for elevated levels of lead in blood.

Office of Special Services

The Office of Special Services is comprised of three units: Government/Constituency Relations, Communications, and Adjudications.

Government/Constituency Relations

- Directs the department's legislative program.
- Acts as the liaison with the General Assembly, congressional delegation and others concerned with public health.
- Coordinates the development of the agency's regulations.
- Responsible for the production and publication of the Connecticut Public Health Code.

Communications

- Responsible for the direction and coordination of media, public and internal relations including the organization of special events and creation of in-house publications.
- Charged with the responsibility of Duty to Warn when the public's health and well-being are in jeopardy.
- Coordinates Freedom of Information requests, Regulatory Action reporting and distance learning activities.

Adjudications

- Conducts hearings and renders proposed and final decisions on charges against regulated health professionals when there is no board for that profession, and for WIC, EMS, Day Care and local health appeals.
- Provides support for 16 professional boards and commissions.

Improvements/Achievements 1998-99

The following are major accomplishments and achievements of the agency which assured and improved services to the people of Connecticut.

Administrative Improvements/Achievements

- Initiatives to improve employee skill levels and to promote Affirmative Action objectives included the delivery of training on diversity in the workplace, completion of a sexual harassment orientation program for all agency employees, and two successful applications for union funding for technology training and epidemiological training to all agency employees.
- In consultation with the agency-wide Employee Advisory Committee, internal and external recruitment resources were developed to promote Affirmative Action goal accomplishment and workforce diversity.
- The Communications Office coordinated several successful charitable campaigns, including the Governor's Care and Share Food Drive and the State Employees Campaign for Charitable Giving.
- The Communications Office coordinated an agency celebration of National Public Health Week.
- An employee orientation handbook was developed, and a new employee orientation program was instituted. These resources help employees who are new to the agency become familiar with agency programs, policies, and procedures.

- A seminar on violence in the workplace was provided for all managers and supervisors, to provide skills in recognizing and resolving potentially problematic situations.
- Fifty-two agency employees volunteered as weekly tutors in the West Middle School Tutorial program, a program endorsed by the Governor's Office and the State Employees Bargaining Agent Coalition.
- Agency-operated programs generated approximately \$19.6 million in revenue, primarily from laboratory and professional licensing fees, for deposit to the general fund.
- New senior management reports were designed and implemented to improve monitoring of federal, state, and private funds.
- Standards for maintaining activity records by grant-related personnel were promulgated and implemented, improving accountability for the use of federal grant funds.
- A new statewide immunization registry is in development, in collaboration with the Centers for Disease Control and Prevention, and is expected to begin statewide implementation in the Fall of 1999.
- The Automated Long-Term Care System was expanded to include all 98 home health care agencies operated in Connecticut. The system is currently operational for test submissions from the home health care agencies and will begin receiving production data in August 1999. These data will be transmitted to the federal Health Care Finance Administration and will be used for Medicare reimbursement, quality of care analysis, and targeting of survey activities.
- The Public Health Laboratory continued its efforts to enhance its genetics screening program. Reliability and specificity were increased through continued improvements in methodologies and instrumentation in the newborn screening component. The adult genetics testing component was refined and expanded. The internal reporting of abnormal test results was streamlined and converted to electronic mode.
- The Public Health Laboratory collaborated with epidemiologic staff to conduct studies assessing the sensitivity of selective testing practices for *Cryptosporidium* and assessing antibiotic resistance patterns of *Campylobacter* in Connecticut. New testing was instituted to allow same-day identification of *Mycobacterium tuberculosis*. The Emerging Infections Program was enhanced by new analytic techniques and improved electronic communications with testing sites around the country. Testing was instituted for the tick-borne disease, Human Granulocytic Ehrlichiosis, now endemic in Connecticut.
- HIV serology testing services have been expanded to new users, including college infirmaries, community health centers, hospital laboratories, sexually-transmitted disease clinics, Planned Parenthood clinics, and private physicians.
- The Public Health Laboratory entered into partnerships with two municipal health departments, to provide analytic support to their programs for environmental lead hazard reduction.
- New methodologies were implemented for petroleum hydrocarbon and volatile organic compounds, improving the Laboratory's ability to detect environmental contamination.

Programmatic Improvements/Achievements

- A database was developed to improve efficiency and accuracy in tracking and reporting of data relevant to Supplemental Security Income (SSI) beneficiaries who may be eligible for the Children with Special Health Care Needs (CSHCN) Program. The Title V CSHCN Program is Federally mandated to access SSI beneficiaries for eligibility into the Program.
- The DPH Connecticut Community Oral Health Systems Development Project (CCOHP) has doubled the number of active pilot sites statewide. The CCOHP has helped enable the development of a school-based dental clinic in Groton, a community store-front public dental clinic in Stamford, a mobile dental van in New Haven, and an oral health education and integration project in the lower Naugatuck Valley. A comprehensive manual has been published to provide guidance to pilot site work groups in developing and sustaining collaborations, needs assessments, strategic plans and evaluations. The second annual CCOHP Community Oral Health Conference attracted nearly 150 health

and human services professionals from around the state.

- The department conducted planning workshops with state agencies, community-based organizations, local health departments, health care management agencies and families to develop comprehensive state plans for the Diabetes Control Program and the Cardiovascular Disease Program. Future program activities and initiatives will be based on the completed plans.
- The department has received a Cooperative Agreement Award of \$850,000 from the Centers of Disease Control and Prevention for Core Capacity Building for Tobacco Prevention and Control Programs. This award was an increase of over 200% from the previous year.
- The Connecticut 5 A Day Head Start Program reached 10,184 families and an additional 4,738 people were reached via the newly developed centralized warehouse system for the distribution of Connecticut 5 A Day materials.
- The Breast and Cervical Cancer Early Detection Program is providing underserved Connecticut women with screening and diagnostic follow-up for breast and cervical cancer. Screening was initiated on October 1, 1995 and as of June 30, 1999, the program has screened 10,700 Connecticut women. For SFY'99, a total of 3,358 women were enrolled and screened. During this period, 3,774 mammograms, 4,517 clinical breast exams and 4,105 pap smears were performed resulting in the diagnosis of 77 cancers: 35 breast cancers, 34 cervical cancers and 8 cancers in other tissues.
- The WIC Program implemented a pricing component for all WIC vendors, by which all WIC food stores must meet price criteria before being authorized to accept WIC checks. This will reduce overall food costs by using only the lowest priced vendors in each area throughout the state in each of the different types of stores.
- The Toxic Hazards Assessment Program has completed a Geographic Information System project that allows the agency to estimate populations within any area without having to rely on political boundaries. This procedure uses the census data and allows for small area analysis of issues such as cancer clusters but is useful for other outcomes of interest to the state (infant mortality, low birth weight, etc.).
- The department published a Comprehensive Guide to Prevention and Treatment of Childhood Lead Poisoning. This "Comprehensive Care Document" provides medical providers and others with current guidelines for the prevention and treatment of childhood lead poisoning.
- Surveillance for diseases that may indicate bioterrorism was enhanced. Eleven diseases were added to the list of reportable diseases, in a special listing of diseases that are suspect for bioterrorism, and to the list of laboratory reportable findings in a special highlighted sublisting. The new diseases added to the reportable disease list were: Q fever, ricin poisoning, smallpox, Staphylococcal enterotoxin B poisoning, tularemia, Venezuelan equine encephalitis, and viral hemorrhagic fever. The diseases, already on the list of reportable diseases that were moved to this special sublisting, are anthrax, botulism, brucellosis and plague.
- As of July 1999, per the results of the 1998 National Immunization Survey, Connecticut had the third highest immunization levels for young children in 1998.
- The department provided technical assistance to 11 communities in the development of 10 applications to the federal Bureau of Primary Care for redesignation as shortage areas. This designation entitles communities to benefits from the federal government, such as assignment of federally employed and/or service obligated physicians, dentists and other health professionals to designated Health Professional Shortage Areas (HPSAs) and scholarships for training of health professionals who agree to serve in designated HPSAs.

Regulatory Improvements/Achievements

- The Division of Community-Based Regulation has completed the reorganization of the service delivery system for child day care licensing. Five new professional child day care licensing positions were established which allowed for a third child day care supervisory licensing unit. This resulted in the ability to establish a system which

ensures that family day care homes continue to be inspected at least once every three years. Furthermore, improved efficiency has resulted in the completion of 213 regulatory actions this past year compared to 68 the previous year.

- The Bureau of Regulatory Services convened, participated on or completed projects addressing regulatory standards in the areas of asbestos practitioner credentialing, emergency medical services equipment grants, emergency medical services standards, graduate medical education, continuing education for social workers and opticians, newborn hearing screening, alcohol and drug counselor credentialing, ambulatory surgery facilities, long term care standards, outpatient clinics, food protection standards, child day care health screening, child day care background checks and residential care home standards.
- During SFY'99, the Legal Office received 291 cases for prosecution and disposed of 268 cases, either by settlement, memorandum of decision, voluntary surrender or dismissal.
- The department implemented the Drinking Water State Revolving Fund (DWSRF) program. This program is funded, in part, through a capitalization grant from the United States Environmental Protection Agency under the federal Safe Drinking Water Act (SDWA) and provides low cost loans to assist public water systems to finance the costs of infrastructures needed to achieve or maintain compliance with SDWA requirements and to protect public health. Thus far, \$4.4 million in DWSRF loans have been awarded, meeting all federal target goals for the state.
- In an effort to ensure department customers are aware of current programmatic issues and regulatory requirements, various seminars have been sponsored by the Bureau of Regulatory Services. These seminars have addressed in part, drinking water issues including current federal directions, nursing home and hospital initiatives and regulatory oversight procedures, child day care and youth camp regulatory compliance, and emergency medical services training and testing procedures.
- In collaboration with Central Connecticut State College and Capitol Community Technical College, the department developed an Emergency Medical Services Instructor Course.
- The department instituted an Automatic Early Defibrillation (AED) Registry program pursuant to Public Act 98-62, An Act Concerning Good Samaritan Use of AED.
- The department is participating on a statewide coalition to improve End of Life Care in terms of public awareness, access, service delivery and regulation.
- The department sponsored a drinking water conference in cooperation with the United States Environmental Protection Agency's 25th Anniversary of the Safe Drinking Water Act, and the Connecticut Section of the American Water Works Association.

Public Health Planning & Surveillance Improvements/Achievements

- The department produced the report *Multicultural Health, The Health Status of Minority Groups in Connecticut* and released the document in June 1999. The report, which consolidates health data that is collected throughout the department into a single report, identifies important differences in health risks, disease incidence and death rates for specific race/ethnicity in subgroups within the state. The distribution of more than 1,000 copies of the report to state and local agencies and other interested parties was initiated in June 1999.
- The *1997 Connecticut Registration Report* was published. This volume marked the 150th year that the annual publication of vital statistics has been produced for the State of Connecticut. The report documents significant improvements in health status for Connecticut's residents since 1996, including lower death rates for HIV infections, diabetes and diseases of the heart for women.
- The department developed a detailed methodology for calculating annual age-sex specific population estimates at the town level which should allow a wider variety of local area assessments to be undertaken which rely on such estimates to calculate birth, death, and disease rates at the town level. The new methodology will enhance the department's ability to facilitate public health surveillance and planning capabilities.

- The Tumor Registry's computerized database contains detailed statistical information on approximately 622,000 cancers diagnosed in Connecticut residents since 1935, including diagnosis, treatment and survival data on approximately 393,950 cancers diagnosed and reported to the Registry by hospitals and private pathology laboratories, from 1973 through 1997. The data can be used to monitor cancer incidence and survival and to evaluate cancer control programs within Connecticut.
- The Tumor Registry conducted two National Cancer Institute (NCI) funded Patterns of Care studies during SFY'99. Both studies used Tumor Registry data to document the full extent of treatment provided to a sample of Connecticut patients diagnosed with certain cancers including non-small cell lung, ovarian and cervix cancers, melanoma, ductal carcinoma in situ of the breast and cancers of the head and neck. The collected data will be analyzed by NCI to examine the outcome of various treatments and possible reasons for changing trends such as the apparent increase in survival for children with brain-stem cancers.
- The Connecticut Cancer Consortium, a partnership of the DPH with the Yale Cancer Center, the University of Connecticut Health Center and the Connecticut State Medical Society, has begun to develop a state-wide cancer control plan designed to reduce the burden of lung, breast, and colorectal cancer through primary and secondary prevention, including surveillance, screening and public and professional education. The three priority cancers were targeted based upon their frequency, their potential preventability and/or relative medical agreement about available screening/prevention strategies.
- To assist with the storage of cancer records reported to the Tumor Registry and facilitate document retrieval, the Tumor Registry has begun optically imaging its cancer records. The records of formerly reported cancer diagnoses are accessed and linked with lifetime follow-up data reported to the Tumor Registry on respective cancer patients.
- During SFY'99, the Vital Records Section processed approximately 43,755 certificates of live births; 29,256 death certificates, and 20,336 marriage certificates. It also finalized 1,316 records of adoption and 11,372 paternity acknowledgments.
- Pursuant to the Public Act 97-7, "An Act Concerning Child Support," the Vital Records Section developed a centralized, automated Paternity Registry to manage the approximately 12,000 paternity actions processed annually. The paternity data is linked with the Vital Records Section's electronic birth registry and shared with the Department of Social Services and the Superior Court, as required.
- The Vital Records Section continued the vital statistics microfilming project initiated in 1998, which entails the filming of approximately 9 million Connecticut birth, death, marriage, adoption and parentage records from 1897 to the present. A computerized index database system has been developed to facilitate document retrieval. As of June 30, 1999, 3 million death and marriage records from 1897 to 1995 have been filmed, indexed and quality checked. The microfilming vendor is in the process of filming and indexing the remaining marriage, birth and adoption records for the period 1897 through 1996.
- The 1998 session of the Connecticut General Assembly increased the per capita Grant In Aid allocation for local health departments and extended eligibility for the state aid funding to part-time health departments. The Local Health Administration program participated on the Committee to draft required regulations to implement the Grant In Aid program for part-time health departments. The program also provided four work shops for the local health departments with part-time Directors to review the Grant In Aid funding requirements. During SFY'99, 24 part-time local health departments received their initial per capita funding.
- The department conducted a survey to assess the computer capacity of all local health departments, which currently includes 27 full-time local health departments, 18 districts representing a total of 85 towns and 66 part-time local health departments. The department's goal is to ensure all local health departments have the technological capability to receive and respond rapidly to public health alerts.
- The department awarded an additional \$100,000 in SFY'99 for a Hospice and Pallia-

tive Care Educational Outreach Training Program for health care professionals who provide end of life care to terminally ill patients and their families. A total of 153 participants completed the program during 1998-99.

Reducing Waste

In an effort to reduce waste and redundancy, the Division of Health Systems Regulation, whenever possible, conducts dual inspections of facilities which require such inspections for the purpose of the facility maintaining state licensure and certification for participation in the Title XIX Medicaid program or Title XVIII Medicare program. Furthermore, staff have been trained to inspect multiple levels of care and services in order to share program resources and to follow patients through the complexities of the evolving health services system in light of managed care.

In an effort to facilitate the regulation of community type providers within the Bureau of Regulatory Services, the Day Care Licensing Unit, the Mental Health and Substance Abuse Licensing Unit and the Intermediate Care Facilities for the Mentally Retarded Certification Unit forms the core of the Division which regulates these community-based programs. The investigation of health care professionals, other credentialed practitioners and health care facilities/agencies is consolidated into the Risk Management and Compliance Unit. Applications and the issuance of licenses is also consolidated into a common unit. This re-organizational design enhances the agency's ability to further reduce waste and program redundancies.

The department is participating on a statewide task force to develop standards for electronic forms processing and to pilot a group of electronic forms. Three birthing hospitals are participating in the Department's pilot to electronically report information required for newborn genetic and hearing screening.

A major initiative was undertaken in order to facilitate the work flow within the Toxicology/Criminology Laboratory. This was done at minimal cost, but resulted in the consolidation of similar functions into an improved work setting. The Toxicology/Criminology Laboratory also began the process of preparing for certification by the American Society of Criminal Laboratory Directors. A self-assessment was conducted in order to identify current conformance with accreditation standards, and work was begun on the development of documentation required for accreditation.

Consistent with the Governor's emphasis upon the consolidation of similar functions, legislation was enacted during the 1999 session which transferred the Toxicology/Criminology Laboratory from the DPH to the Department of Public Safety. The DPH worked closely with the Department of Public Safety to prepare for this transition. There was a phased implementation of this transfer, with all functions associated with sexual assault and serological evidence being transferred on June 7, 1999. All other functions became the responsibility of the Department of Public Safety on July 1, 1999.

Strategic Planning

The department released the final version of *Looking Toward 2000 - An Assessment of Health Status and of Health Services* in January 1999. The state health assessment provides a snapshot of Connecticut's health status, describes emerging health issues, identifies the state's most critical priority areas, and offers recommendations to improve health status and health services in Connecticut.

The DPH and the Department of Public Works have begun a collaborative effort to conduct an architectural and engineering systems review of the Public Health Laboratory. The DPH developed a detailed inventory of Laboratory programs, personnel, and space utilization to support this undertaking. The study is expected to assist in development of a long-range facilities plan for the Laboratory.

The agency continues to work with the Health Care Employees Union (District 1199) to carry out a Quality of Work Life Improvement Project in the Laboratory. This collaborative project is geared to improving work processes and work environment in the Laboratory. A project was completed this year to redesign, renovate, and modernize the biochemistry laboratory, resulting in work efficiencies and improved ergonomics. The Laboratory also undertook new marketing initiatives to improve customer relations and expand its client base.

Agency data processing staff are working with program staff on such initiatives as:

- A pre-hospital data base system to collect information on each ambulance run, in

- cooperation with hospitals and EMS regional offices.
- Replacement of an obsolete birth registry system with an electronic vital record system.
- Installation of a new geographic information system on the network.
- Installation of new vaccine management software on shared network files, and automation of shipments of vaccines to providers.
- A collaborative effort between the Centers for Disease Control and Prevention and the DPH to install a statewide immunization registry.

The department is finalizing its development of a new licensure system which will house all licensure/certification information collected by the department. This system will provide increased functionality and wider internal access to information. Connecticut Licensing Information Center (CLIC) and the on-line license verification program enable public access to licensure information for all programs administered by the DPH and access to specific licensure information for all individuals authorized to provide health care or environmental health work in Connecticut.

Initial inventory and assessment of data systems for "Century Date Change" compliance has been conducted. A detailed assessment of mission-critical data processing has been completed. Y2K remediation, testing, and certification of all mission-critical systems are nearing completion. All hardware has been assessed, and needed replacement equipment is on order. An assessment of century date change issues related to the Laboratory's testing instrumentation and associated hardware/software was completed, and all related purchases have been made to upgrade or replace noncompliant instrumentation. An inventory of date-dependent non-data processing equipment throughout the agency was also conducted, and replacement equipment is being requisitioned.

System development initiatives were completed in the following areas:

- Enhancements to the WIC system for growth chart plotting and vendor monitoring.
- A new system to support a collaborative program with the Department of Social Services for the voluntary acknowledgment of paternity, enhancing the collection of child support payments.
- Expansion of the Minimum Data Set/Outcome and Assessment Information Set to include patient assessments completed throughout 100 Connecticut home health care agencies.
- Installation of the JusticeTrax Laboratory Information Management System in the Toxicology/Criminology Laboratory, placing all forensic science functions of the DPH and Department of Public Safety on a common platform.

Information Reported as Required by State Statute

All information required by state statute and appearing in previous Digests of Administrative Reports to the Governor appears above under other headings. The primary location of this information is under "Public Service" and "Improvements/Achievements."

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Department of Public Safety

At a Glance

DR. HENRY C. LEE, Commissioner
Colonel John F. Bardelli,
Deputy Commissioner
George E. Luther, Deputy Commissioner
Established - 1903
Statutory authority - CGS Sec. 29-1b
Central office - 1111 Country Club Road,
Middletown, CT 06457-9294
Number of employees - 1578
Recurring operating expenses - \$107,188,000
Organizational structure -
Office of the Commissioner; Division of
State Police; Division of Fire, Emergency
& Building Services

Mission

The mission of the Department of Public Safety is to provide for the protection of the public by efficient and effective utilization of resources through education, prevention, technology, and enforcement activities.



Statutory Responsibility

The Department of Public Safety is charged to prevent crime, apprehend criminals, enforce motor vehicle laws, investigate crimes and traffic accidents, provide relevant training and resources, and perform other regulatory and safety functions to the benefit all citizens of this state and citizens of other states within Connecticut, including the motoring public.

Public Service

The department performs services to citizens and other state, local and federal agencies, as a result of requests for police services, as a result of citizen complaints, or as a result of self-initiated activities of troopers and other investigators. Troopers routinely distribute a questionnaire to citizens, which is directed to the Commanding Officer of Field Operations to determine how satisfied the citizens are with department provided services.

Improvements/Achievements 1998-99

- Connecticut Telecommunication System contracted and designed
- Sworn staffing increased to 1,248 — funding and facilities
- Megan's Law — Sex Offender Registry in operation
- New Forensic Science Laboratory Phase II construction completed
- Emergency Response Center — Phase I construction
- Cooperative Policing Initiatives — Citizen's Police Academy
- Merger of Toxicology Lab with Forensic Lab
- Enhanced Public Relations & Information function
- New Firearms Training Center funded and in planning stages
- Improved vertical communications accomplished by newsletters, an annual report, and employee socials

Reducing Waste

All department programs are closely monitored to assure that wasteful unnecessary expenditures are eliminated.

Strategic Planning

The Department employs selected retirees who work up to 840 hours each calendar year to complete department projects at significantly lower cost as compared to the cost of retaining full-time employees to perform the same tasks.

Special Initiatives, Fiscal Year 1998-99:

Organization

The department continues to consolidate functions and streamline operations for more efficient use of fiscal and human resources.

A commitment has been made to cooperative policing. This philosophy incorporates using a partnership approach to resolve identifiable problems in all communities of interest which this agency serves.

Programs for the current fiscal year include:

- Strategic Planning Initiative
- Information & Technology Plan
- Community/Cooperative Policing
- Computer Crimes
- Human Resources Development
- Countering Domestic Terrorism
- Development and use of new law enforcement technologies
- Helicopters
- Teleforensics
- Digital Imaging
- Technology Networks

Equal Employment Opportunity

The department continues to commit to upholding affirmative action in recruitment and nondiscrimination policies of its employment practices and the delivery of public services. The department emphasizes employment and advancement for women and other minorities, for persons with disabilities and for members of all other groups identified as being possibly disadvantaged. The department is committed to assure accessibility to all services and facilities. The department provides in-service training so that all employees are knowledgeable of the department Equal Employment Opportunity Program and the requirements of the federal Americans With Disabilities Act.

Office of the Commissioner**Commissioner Dr. Henry C. Lee**

The Commissioner of Public Safety as the chief executive officer of the department and State Fire Marshall is directly assisted by his division heads and the following units and functions: a Chief of Staff, Governor's Security Detail, Public Information Office, Equal Employment Compliance Unit, Legislative Liaison Officer, Legal Affairs Unit, Forensic Science Laboratory, and Bureau of Management Support; The Forensic Science Laboratory functions through the following components: Support Services processes crime scenes, receives evidence and generates related reports; Criminalistics combines the disciplines of biology, biochemistry, serology, immunology, chemistry, instrumentation, arson, trace, explosives and DNA analysis to process physical evidence, provide pertinent information regarding criminal investigations and also maintains a DNA database; Identification provides latent fingerprint analysis, AFIS input and search analysis, imprint pattern analysis, questioned document analysis, firearm and tool-mark comparison, DRUGFIRE input and search analysis, forensic and specialized photography, and photographic film processing; Reconstruction provides photographic and video image enhancements, computer enhancements, crime scene profiling and the training of investigative unit personnel; Forensic Administration commands and coordinates all these components and oversees research and training, equipment acquisition, data management, and the budget and purchasing functions. Approximately 4,100 cases were received, with more than 30,000 items of physical evidence submitted for processing on which 445,000 examinations or tests were performed. Approximately 16,000 rolls of film were submitted resulting in the generation of more than 410,000 photographic slides or prints. Existing computer operations include the "DRUGFIRE," AFIS and DNA DATABANK and LIMS programs. The Bureau of Management Support provides technical support services for the department through operation of the following units and functions: Human Resources recruited and hired 205 new employees, separated 137 employees from active service, and facilitated 48 sworn and 60 nonsworn promotions.

Fiscal Affairs managed the agency budget allocation, including a capital outlay of \$6,416,887, and management of state and federal grants totaling \$20,110,488. Outside contractors were billed \$4,346,150 for miscellaneous services rendered by department employees. Small business and minority contractors accounted for \$1.1 million and \$903,000 in purchases respectively, and processed expenditures by this unit totaling more than \$8.9 million. Other duties included processing biennial resident state police trooper contracts or amended contracts for 59 resident trooper towns; monitoring personal services agreements for contractual services, acting as department liaison with the Governor's Office, the state Office of Policy and Management and the Office of the Attorney General; monitor grants in aid to 169 municipalities, distributed 1,500 gasoline credit cards and processed 1,300 calling card billings each month. Purchasing procures, warehouses, and inventories all department goods and services. Unit staff processed 3,292 purchase orders. The Department Safety Officer supports and provides safety education training for all employees, and conducts surveys and inspections to promote the health and safety in the work

Division of State Police

Colonel John F. Bardelli, Commanding Officer

Deputy Commissioner

The Division of State Police investigates criminal matters and other law violations and is commanded by a deputy commissioner acting in his capacity as the Commanding Officer of State Police. This division incorporates two office level commands: the Office of Administrative Services and the Office of Field Operations. Each office is commanded by a lieutenant colonel who reports directly to the division commander. The Commanding Officer of State Police is also assisted by the following commands and functions: Labor Relations Unit, Employee Assistance Unit, and by Professional Standards which is comprised of the Inspections, Internal Affairs and Accreditation Units.

Office of Administrative Services

Lt. Colonel Marjorie Kolpa, Commanding Officer

This office incorporates commands and functions tasked as follows: The Bureau of Support Services provides technical support through the following units and functions: Facilities Management/Plants & Maintenance completed Phase II of the Forensic Lab. Plans for a new Emergency Response Center is moving forward. Other projects to renovate, upgrade or begin new construction are being planned or are awaiting necessary action before progressing. Improvements to all buildings pertaining to electrical, plumbing and HVAC upgrades are ongoing. Fleet Operations maintains 2,000 department vehicles and all vehicle related equipment. Fleet received approximately 600 vehicles this year and disposed of a similar number of vehicles through the state surplus program. Special Licensing & Firearms licensed and regulated 377 private detective agencies and security companies, 79,357 security guards, issued 229 related firearm permits, licensed 47 professional bondsmen, and issued 38 firearm permits to 41 bail enforcement agents. The unit processed 4,030 new pistol permits and renewed 31,375 additional pistol permits. The unit processed 38,553 handgun authorizations, denied 87 sales, processed 41,526 firearm registrations, revoked 567 firearm permits and reinstated 218. Reports and Records, as the central repository for department records, processed 35,000 requests for information and collected \$279,000 in fees. The Sex Offender Registry maintains a database of sex offenders released into communities and those of similar status who move into this state. Currently the unit has more than 3,111 records concerning sex offenders with 1,956 of those records available to the public via the Internet. Bureau of Telecommunications functions through the following units: Radio Services purchases and maintains all new or existing base and mobile radio equipment and radar sets. The CTS Project has completed 44 of 57 tower sites with another ten approved for construction. A contract has been signed with Motorola Corporation to provide 800 MHz services by 2001. The State Police Bureau of Identification is using the AFIS live-scan fingerprint system at six sites and has conducted 173,208 criminal history checks, processed 133,642 fingerprint cards, and has collected \$551,430 in fees. The Data Processing Unit acquires and maintains more than 1,000 computers and related peripheral equipment in place. Telephone Services has installed a toll free line to permit charge free calling to DPS Headquarters by the public.

The newly created Bureau of Business and Strategic Planning has developed an implementation plan for the COPS Universal Hiring award of 16.9 million dollars granted the agency in June 1998 by the US Department of Justice, Office of Community Oriented Policing. This initiative enables the agency to employ 226 additional troopers and facilitates transforming the department to a cooperative policing philosophy. This cooperation between state, federal, and local agencies has begun with training in Community Policing, School Resource Officers, Problem Solving and Partnership Building. Other cooperative initiatives are being developed for use in this comprehensive program. In June of 1999, Troop F was the first to receive additional personnel under this program. The Crimes And Data Analysis Unit supervises COLLECT which is working to become NCIC 2000 compliant. The unit maintains a "wants and warrants" system, interfaces with other local, state and the federal government agencies, and trains and certifies approximately 5,500 system users each year. COLLECT has more than 1,200 terminals accessing its data; Crimes Analysis provides information and information analysis for department managers in areas, such as crime and traffic accident trends. The unit manages the Uniform Crime Reporting program which collects, analyzes and disseminates crime data from every police department in the state; compiles and publishes information on family violence crimes and crimes that are motivated by bigotry and bias. The Message Center monitors department radio traffic, maintains emergency call-out lists, activates department emergency plans and makes required notifications during nonbusiness hours. Research and Planning assists managers to conduct short and long range plans and special projects, analyzes selected operational activities and maintains the department Administration & Operations Manual. The Missing Persons Clearing House function resides in Research & Planning. A \$200,000 grant was obtained and disbursed to upgrade quality of life programs through the Resident State Trooper Program. Grants Management oversees \$6,004,985 in Federal and State grant funding for various enforcement, education and cooperative policing programs throughout the agency in addition to the COPS Universal Hiring grant. The Bureau of Selections & Training recruits, selects and trains state police candidates; administers polygraphic tests for state and local police departments, courts and other agencies and manages the Connecticut Police Academy, Firearms Training Unit and the Drug Abuse Resistance Education program. The DARE Unit certified 67 state and local officers as DARE instructors. The unit conducted training programs certifying officers as junior high and middle school DARE instructors, and a one week training program for parents. The Training Academy graduated a training class of 42 state police troopers in March 1999. A class of 40 trooper trainees is expected to begin early in the next fiscal year, the first group to be hired under the COPS MORE grant. Academy staff provided instructors for the New England States Police Administrators' Compact. Two days of annual in-service training were provided to over 900 troopers and remedial training was provided to selected department members. Advanced skill specific training was offered to state, local and federal agencies in the areas of accident investigation, interviewing techniques, and medical responses. The Selections Unit administered an oral examination 2,209 trooper trainee applicants. Selections personnel undertook psychological tests and medical evaluations of all prospective candidates were undertaken. Unit personnel attended various recruitment activities with more than 8,458 applicants inquiring about employment opportunities. The Polygraph Unit conducted 1016 examinations, with 395 related to criminal investigations and the remainder for preemployment screening. The Firearms Training Unit offered and conducted specialized training to state, municipal and federal law enforcement agencies, which included the second phase of a firearms awareness program for the Division of Criminal Justice. The unit supervisor provided numerous public presentations on Threat Assessment and Violence in the Work Place. Annual in-service training was conducted for all sworn personnel, as well as unit specific training for groups such as Emergency Services, the Statewide Narcotics Task Force, and the Statewide Cooperative Crime Task Force. The Background Investigative Unit, staffed primarily by retirees, processed applicants for child foster care and adoptions and other purposes including employment for this department and other state agencies.

Office of Field Operations

Lt. Colonel Timothy F. Barry, Commanding Officer

Field Operations is responsible for the delivery of police services statewide. The state is divided into three geographical field districts, East, West and Central. Each field district has a headquarters facility and support staff, a Major Crime Squad to conduct major investigations

and assist other police departments when requested, and four troops. These 12 troops, which comprise the backbone of this agency, are each staffed by a lieutenant, a master sergeant, approximately six supervisors, 45 troopers and a small number of nonsworn support staff. Troop personnel conduct police patrols and engage in assignments and duties ranging from conducting homicide investigations to assisting disabled motorists. During FY 98/99 there were 642,275 calls for service including 33,979 criminal investigations and 29,006 traffic accident investigations. Motor vehicle law violators were issued a total of 228,426 traffic summonses. The Bureau of Criminal Investigations conducts major criminal investigations through the following units and functions: the Connecticut Regional Auto Theft Task Force conducted 825 investigations, executed 73 search warrants resulting in 377 arrests, and recovered 543 stolen motor vehicles valued at \$4.5 million; the Statewide Organized Crime Task Force conducted 13 wiretap investigations, 28 other criminal investigations, one political corruption case, three financial crime investigations, nine assist cases for federal or local police agencies, and 13 wiretap investigations. The unit executed 59 search and seizure warrants which resulted in 25 arrests and seizures of \$456,954 in cash, along with computers, vehicles and other property. The Casino Unit, which maintains a continuous presence at the Mohegan Sun and Foxwoods gambling casinos, conducted 1,263 investigations which resulted in 363 arrests and performed 5,402 pre-employment background investigations of prospective casino employees; The Statewide Cooperative Crime Control Task Force, while focusing on youth and gang violence and the use of illegal firearms and drugs, served 135 search and seizure warrants resulting in 491 arrests and the seizure of \$129,874 in cash and 54 firearms, and large quantities of illegal drugs; the Central Criminal Intelligence Unit provides investigative support services as the official repository for intelligence data for the department, and administers the Statewide Police Intelligence Network, as an electronic means of sharing criminal intelligence between local, state and federal law enforcement agencies. The Electronic Surveillance Lab conducts telephonic, audio, and video surveillance and provides support services to department investigators. The Statewide Narcotics Task Force maintains five field offices, which conducted 2,512 investigations resulting in serving 669 search and seizure warrants and performed 1,319 arrests. Seizures included \$593,955 in cash, 15 vehicles, 14 kilograms of cocaine, 2.6 kilograms of "crack" cocaine, 2.4 kilograms of heroin and more than 1,379 kilograms of marijuana. The Extradition Unit made 51 arrests via governor's warrants used in interstate or international extraditions. The Computer Crimes Unit investigates computer related crime and assists other agencies to conduct similar investigations. In its first year of operations, the unit conducted 45 investigations for state and local police. The Auxiliary Trooper Program Coordinator monitored the delivery of auxiliary trooper services statewide. The Emergency Services Unit includes the following field support units and functions: The Bomb Squad responded to 417 incidents and conducted 67 bomb lectures; The Dive Team responded to 73 incidents; The Tactical Team responded to 27 incidents; The Aviation Unit flew more than 600 hours in support of department missions; The Canine Unit provided training and assistance to several state and local police departments and canines were used for more than 2,600 incidents.

Division of Fire, Emergency & Building Services

George E. Luther, Deputy Commissioner

The Division of Fire, Emergency and Building Services provides for the safety of the public by ensuring that building and fire codes and their ancillary codes are properly administered at state and local levels; by assuring that the local code officials are properly educated; and by providing a state of the art Enhanced 9-1-1 telephone system throughout the state. The division is comprised of the Offices of Education and Data Management, State Building Inspector, State Fire Marshal, and Statewide Emergency Telecommunications. All Offices are located in the Department of Public Safety Headquarters in Middletown.

Office of Education & Data Management

Wayne Maheu, Director

The Office of Education & Data Management is responsible, in cooperation with the State Codes and Standards Committee, the Fire Marshal Training Council, the Building Code Training Council, the Code Training and the Education Board of Control, for the education of all state and local building officials and fire marshals. The office schedules quarterly exams to license

local building officials and annually conducts a fire marshal certification program. The office is also responsible for the continuing education of municipal building officials and fire marshals and other allied professionals. These activities represents a customer base of approximately 3,000 individuals. During this reporting period 126 local fire officials successfully completed certification courses totaling 160 hours of classroom instruction and were certified. This office, in conjunction with the Office of State Fire Marshal and the Office of State Building Inspector, delivered 109 in-service training programs for building officials, fire marshals and other allied professionals, representing a total of 355 classroom hours, 27,420 student contact hours and approximately 6,855 attendees. A combined total of 319 building officials and fire marshals were re-certified during this reporting period. Ten local officials were de-certified for non-compliance with certification requirements. Office personnel processed 8,167 applications for continuing education credits and mailed 6,506 course announcements or notices. The office is in the middle of a major transformation to upgrade the training and education programs for all code officials and allied professionals. Staffing began to increase during this fiscal year will continue into the next. New programs have been drafted and presented. Additional programs will be made available during the next several months. Additionally, the office collects, tabulates, analyzes and forwards to the U.S. Fire Administration, fire data reported by 268 local fire departments that participate in the National Fire Incident Reporting System. A total of 165,305 incidents were reported. Fire departments responded to 15,543 fires that caused \$ 57 million in property loss, injuring 315 civilians and 467 firefighters. Thirty-eight people lost their lives due to fires during this reporting period. Fire departments also responded to 65,651 rescue calls, 30,124 false alarms and 53,987 other calls, such as mutual aid calls to other fire departments, lockouts, good intent calls, etc. The office annually conducts a survey in compliance with the U.S. Fire Administration's federally mandated Hotel-Motel Fire Safety Act, tracking 274 hotels/motels in Connecticut. A total of 144 burn injury reports were received from various health care facilities in accordance with Connecticut's burn injury reporting statute.

Office of State Building Inspector

Christopher Laux, State Building Inspector

The Office of the State Building Inspector consists of the Bureau of Technical Services, Permits and Inspections; the Bureau of Boiler Inspection; and the Bureau of Elevators. The Bureaus of Technical Services, Permits and Inspections ensures the health, safety and welfare of the citizens of Connecticut and all visitors to the state by: meeting, in cooperation with the State Codes and Standards Committee all statutory mandates for adoption and administration of the State Building Code; providing interpretations and clarifications of code language; acting pursuant to requests for code modifications and handicapped accessibility waivers; training and licensing municipal building officials and technical personnel; and issuing building permits and conducting inspections of state buildings exceeding the statutory threshold limits. The State Building Inspector also has statutory responsibility for reviewing the actions of municipal building officials when it is alleged that they have misinterpreted or misconstrued any provision of the State Building Code and for providing plan reviews of single family dwellings to be constructed across municipal jurisdictions. In addition, these bureaus provide technical assistance to state agencies, municipal building officials, design professionals, construction professionals and building owners. Technical assistance is in the form of telephone contact, written correspondence and site inspection. These informal contacts for technical assistance cannot be documented numerically but are in the order of magnitude of thousands per year. A summary of activity for the past fiscal year is as follows: formal interpretations of the State Building Code issued: 72; requests for modifications and handicapped waivers acted upon: 1,040; 1,695 construction inspections were performed on various threshold building projects with a total construction value of \$635 million and formal reviews of municipal building official actions totaled 21. The Bureau of Boilers promulgates and enforces all laws and regulations pertaining to boilers and water heaters, as well as conducting related inspections and issuance of operating permit certifications. The total number of boilers inspected was 16,403; the total number of re-inspections was 128; the total number of new installations was 161; the total of fees collected was \$398,258; the total number of accidents investigated was 7; and the total number of registered boilers & water heaters was 37,154. The Bureau of Elevators promulgates and enforces all laws and regulations pertaining to elevators, escalators, ski lifts, personnel hoists and tramways, as well

as the inspection and operating certificates for such units, both when initially installed and then annually. The total number of elevators inspected was 7,696; the total number of tramways inspected was 43; the total number of accidents investigated was 114; the total number of complaints investigated was 101; the total number of new units accepted was 370; the total number of units "red tagged" or taken out of service for unsafe conditions was 192; total of fees collected was \$523,237; the total number of registered units was 13,310; and the total number of units under review was 280.

Office of State Fire Marshal

Deputy State Fire Marshal, John Blaschik, Jr.

The Office of State Fire Marshal consists of two bureaus, dealing with fire prevention or safety statutes and regulations. The Office of State Fire Marshal, in cooperation with the State Codes and Standards Committee, is responsible for statutory requirements dealing with the protection of life and property for the public from the harmful effects of fire, explosion and mechanical failures. The Bureau of Investigations and Enforcement includes East and West Fire Investigation Units, which units conduct fire, arson, and explosion investigations when requested by municipal officials. These investigations are normally larger and more complicated fire or explosion incidents where specially trained personnel are required. There were 217 such requests during the past year, including the investigation of 26 fires resulting in 34 fatalities. The Licensing and Permit Unit is responsible for the issuance of 40 types of licenses and permits. In addition, the bureau inspects all circuses and carnivals, numbering 328 this year, and administers laws and regulations dealing with explosives and fireworks that included issuing 238 permits. Investigations are also conducted on behalf of other division commands. More than 3,700 licenses and permits were issued over the past year generating \$225,160 of revenue. The Bureau of Engineering is responsible for promulgation and enforcement of all fire and special hazard laws and regulations, assisting local fire marshals, reviewing requests for code modifications, inspecting state facilities for fire code compliance and reviewing plans and construction of new or renovated state buildings. This past year, the bureau conducted 539 existing state facility inspections, processed 562 code modifications, completed 61 building/system plan reviews and provided local fire marshals with 101 technical assists. The bureau conducted plan reviews and inspections for 23 threshold state building projects for code compliance (estimated construction costs of \$721 million), and assisted in the delivery of four modules of the Fire Marshal/Inspector Certification program to prospective code enforcement officials.

Office of Statewide Emergency Telecommunications

George Pohorilak, Director

The office oversees the administration and maintenance of the statewide Enhanced 9-1-1 Telephone Service, trains and certifies emergency telecommunicators, provides radio frequency coordination throughout the state and administers the E-9-1-1 Telecommunications Fund. New public safety answering point equipment was installed at 108 PSAPs, as part of a contract award to SNET. Additionally, training for the new equipment was provided to approximately 1000 public safety telecommunicators. State of the art 5ESS dual tandems replaced the old 9-1-1 network, consisting of five tandem offices. As part of the statewide upgrade the office funded the replacement of the old Enhanced 9-1-1 data base management computer system and facilitated the electrical upgrade of troop facilities in preparation for the new 9-1-1 equipment. The office participated in DPUC docket proceedings for the implementation of the 9-1-1 surcharge and emergency procedures for competitive local exchange carriers. The office conducted ten technical sessions with wireless carriers in preparation for the FCC mandated Phase I compliance (call back number) for wireless 9-1-1 calls. The office conducted six training programs (four in house and two off-site) for 186 students. Of the 186 trained, 175 were certified as public safety telecommunicators. The office re-certified 110 public safety telecommunicators. Staff conducted three public information programs for the deaf and hearing-impaired. Additionally, staff presented a workshop for the National Emergency Number Association regarding E-911 and the deaf and hearing-impaired community. Instructor development workshops for the telecommunicator-training program were presented. The office administered certification examinations for 35 students who had attended approved private vendor training. Serving as local

frequency advisor for the Association of Public-Safety Communications Officers, the office performed radio frequency coordination for 35 Connecticut public safety organizations during the past year. Office staff chairs and staffs the FCC Region 19 - 800 MHz planning committee. During the course of the year the Committee conducted the review and evaluation of applications for 800MHz spectrum from eleven New England public safety agencies through out the New England States. The Office of Statewide Emergency Telecommunications administered \$13,289,014 in Enhanced 9-1-1 funds during the period of July 1998 through June 1999. Funds were provided to six regional communications centers (\$1,042,796); seven cities with populations greater than 70,000 (\$1,133,801); Enhanced 9-1-1 network cost at \$3,128,206; coordinated emergency medical direction subsidies to each municipality at a total of \$654,847; the Office of Statewide Emergency Telecommunications at \$497,400; new public safety answering point Enhanced 9-1-1 equipment at \$6,331,962; and provisions for transition grants and new regional centers for a total of \$500,000.

Department of Public Utility Control

At a Glance

DONALD W. DOWNES, Chairperson
Established - 1911

Statutory authority - CGS Sec 16-2

**Central office - Ten Franklin Square,
New Britain, CT 06051**

Number of employees - 156

Recurring operating expenses - \$15,633,704

**Organizational structure - Office of the
Commissioners, Utility Regulation and
Research Division, Advocacy, Operations
Division, Adjudication Division,
Consumer Education Outreach Division**

Mission

The mission of the Department of Public Utility Control (DPUC) is to ensure that safe, reliable, modern, and fairly-priced utility services are available throughout Connecticut.

Statutory Responsibility

The DPUC has primary responsibility for Connecticut's investor-owned electric, gas, water, telecommunications and cable television companies.

Improvements/Achievements 1998-99

In 1998-1999 the DPUC accomplished the following:

- Concluded CL&P rate case
- Concluded financial review of SCG concluding that for SCG and opened a rate case
- Approved the merger of SNET into SBC
- Decided water utility rate cases
- Reviewed basic cable TV rates, renewed several CATV franchises and considered several franchise acquisitions
- Continued work on requests for other cable franchise renewals
- Coordinated efforts among electric utilities regarding electric capacity needs
- Electric restructuring efforts (technical): promulgated regulations, prepared applications for suppliers/aggregators and put them on web site, began dockets to determine stranded costs and standard offer for CL&P and UI, approved sale of UI's non-nuclear generation facilities to Wisvest, concluded review of divestiture plans for CL&P and UI, hired consultant to oversee auction of CL&P's non-nuclear generation assets
- Electric restructuring efforts (education): created and staffed a consumer education unit, hired a consultant to assist in developing an education plan and prepare a report to the legislature, hired an advertising firm for an ad campaign and also began public speaking and contact with elected officials and organizations statewide
- Hired consultant to review major utilities' Y2K readiness and opened docket to continue review

The Department's docket database, along with copies of each Decision, draft Decision, calendar and notices of all events are posted on its web site. This reduces the need to copy, mail and/or fax copies of filings to interested persons nationwide. Key persons in the agency also have internet e-mail and electronic faxability to further reduce use of paper and postage as well as staff time using traditional fax machines.

Applications for competitive telecommunications services continue to be received. To date the DPUC has approved more than: 290 applications for intrastate toll, 75 applications for local exchange telephone service and 50 applications for pay phone service. Work to effect electric restructuring began by opening the first seven of over twenty formal proceedings and formulating a customer outreach program.

Strategic Planning

The Department continues to initiate policies that give consumers more options. These policies are comprehensive, consider both long and short-term perspectives, reflect changes in the statutory and utility environments, focus on close cooperation with other State agencies and are consistent with State policy.

During 1998-1999, the DPUC opened 385 new dockets, held more than 530 public hearings and issued more than 480 final Decisions. It continued its gas pipeline safety/incident inspections and Call-Before-You-Dig oversight and responded to more than 40,000 calls and letters from utility consumers. The DPUC maintained its commitment to affirmative action activity and to obtain parity in its workforce.

Department of Public Works

At a Glance

T.R. ANSON, Commissioner

P.J. Delahunty,

Chief Deputy Commissioner

Richard Ciani,

Deputy Commissioner

Charles Sheehan,

Deputy Commissioner

Established - 1987

Statutory authority - CGS Chapters 59 and 60, 4b-1 et seq.

Central office - 165 Capitol Avenue, Hartford, CT 06106

Number of employees - 244

Recurring operating expenses - \$39,876,687

Organizational structure - Office of Commissioner; Client Plans and Programs; Risk Management; Technical Consulting Services; Facilities Management; Leasing & Property Disposition

Mission

To be the leader in providing quality facilities and in delivering cost-effective, responsive, timely services to state agencies in the areas of design, construction, facilities management, leasing and property disposition.

To partner with our customers, industry providers, and our employees to make the best use of the state's resources.



Statutory Responsibility

The Department of Public Works (DPW) is responsible for the design and construction of nearly all major state facility capital projects; leasing and property acquisitions for most state agencies as well as facility management, maintenance and security of state buildings in the greater Hartford area, as well as certain properties outside of the Hartford area, and surplus property statewide. The department is also mandated to assist agencies and departments with long term facilities planning and the preparation of cost estimates for such plans.

DPW provides facility-related services to the majority of Connecticut's state agencies and commissions. Many DPW services, such as security, parking and snow and ice removal, also

benefit the public who visits the facilities.

It is the policy of DPW to work in close cooperation with its client agencies to ensure that the finished product reflects the needs of the agency and facilitates the delivery of their services for their clients.

Public Service

Security in state facilities – In response to a fatal incident at a Connecticut state facility, and the increase in occurrences of workplace violence nationwide, Governor Rowland directed the Department of Public Works to coordinate a comprehensive security program following a review of security measures in state buildings completed last year. The DPW convened representatives from five state agencies to develop security initiatives.

Named by the Governor as the lead agency for developing these initiatives, the Department of Public Works responded to the administration's concerns for the safety of all state employees and the public who visit all state owned and leased facilities. Immediate actions were taken in buildings under DPW's care and control and a long-term statewide security strategy was developed. DPW hired a statewide security coordinator who was charged with developing a security audit that included a work-site analysis, building risk classification, identification of security exposures, hazard prevention and control and recommendations for risk management procedures. The audit results provide an individual security profile for each state facility. A related assignment required the establishment of security standards for state facilities that could be applied in a way that addresses each building's unique security profile. The Governor's capital budget for FY 99/00 and FY 00/01 included \$10M to bring audited state owned buildings into compliance with the security standards.

DPW's role as lead agency was codified by Public Act 99-220, which makes the Commissioner of Public Works responsible for the administrative functions of establishing and maintaining security standards and conducting security audits for certain state facilities. The act also established a Statewide Security Management Council composed of representatives of the Governor, selected state agencies, the Joint Committee on Legislative Management, the State Employees Bargaining Agent Coalition and the president of the Connecticut State Police Union. The Commissioner of Public Works serves as chairperson of the council. The council's role is to coordinate the activities of certain state agencies that relate to statewide state facility security. All state agencies are required to report quarterly to the council on the frequency, character and resolution of workplace violence incidents and all security-related expenditures.

Public Act 99-220 is effective on October 1, 1999. With statutory authority and bond money in place, the statewide program can be implemented by DPW during FY 99/00 and FY 00/01.

Funding energy conservation measures in state facilities - Budget constraints have limited state agencies' ability to make all the capital expenditures they consider judicious improvements in their facilities. As a result, the most critical renovations such as safety and Americans with Disabilities Act (ADA) improvements often take priority over energy conservation measures. In response to this dilemma, the Department of Public Works is piloting an innovative approach to funding energy conservation measures in state buildings through energy performance contracting. This mechanism allows an agency to pay for energy conserving capital improvements to state facilities from the savings in energy costs achieved by the improvements. During FY 98/99, DPW advertised a Request for Qualifications (RFQ) for energy performance contracting. Respondents were invited to submit packages demonstrating their qualifications for implementing energy improvements and possibly supplying heating and cooling energy (except electricity) to eight selected state facilities under the care and control of DPW. Responses were evaluated and DPW hopes to execute a contract with one of the "short-listed" firms during FY 99/00.

Responding to our clients' needs – State law allows any agency to self-administer construction projects under \$250,000, with prior approval from the Commissioner of Public Works. For those agencies with the capability to manage projects, self-administration is often the preferred and most expeditious delivery method. Over the years, inflation in the construction industry had greatly reduced the scope of projects possible under the \$250,000 cap, which was set in 1985, thereby restricting our clients' flexibility for accomplishing minor projects. Recognizing the problem it was causing our clients, DPW introduced a legislative proposal to increase the ceiling for agency self-administered projects to \$500,000. The legislation passed in the 1999

session of the General Assembly with an effective date of October 1, 1999.

DPW also revised its procedures for assisting agencies in administering their own projects to provide more technical assistance at critical points in the process. This new procedure will ensure that client agencies are provided adequate assistance in managing higher dollar value projects.

Improvements/Achievements 1998-99

Security in state facilities - During FY 98/99 over \$250,000 worth of security related improvements were made to buildings under DPW's care and control. These improvements ranged from increasing security personnel to adding or upgrading card access and camera surveillance systems.

Improved project management - In 1995, DPW made it an ongoing objective to improve project management through a variety of techniques such as more extensive initial project development and construction contract management. An indicator of efficient project management is a low rate of change orders on construction projects. For renovations, which are the bulk of DPW's projects, the industry standard is ten to 15 percent of the original contract value. Results of the department's improved project management have been significant. In FY 98/99 the change order rate for projects closed out since this initiative is fifty percent lower than projects begun before 1995. DPW's change order rate for these projects is 11.15 percent, at the low end of the industry standard.

Y2K Compliance - An extensive effort was initiated this past year to ensure that DPW meets Y2K compliance in all business related information systems. Business process contingency plans were developed to address potential problems associated with the year 2000 phenomena. Also, in conjunction with the Department of Information Technology, DPW tested and remediated all DPW managed state owned buildings to ensure Y2K compliance of the embedded systems. This effort served as a model to guide the balance of state building in achieving Y2K compliance via a process of self-remediation.

Reducing Waste

Lifecycle Cost Analysis - Legislation passed in 1977 required all major capital projects' designs to include a lifecycle cost analysis to ensure that the design is cost-effective. Since that time, standards for energy efficient design have been included in the state building code and national standards for lifecycle costing have been established, making an automatic requirement for a lifecycle cost analysis on all designs unnecessary.

In light of this development, DPW introduced legislation in the 1999 session of the General Assembly to give the Commissioner of Public Works the authority to determine how much documentation must be provided to prove that a design meets the state's lifecycle cost standards. The proposal was adopted as part of PA 99-152, effective October 1, 1999.

The potential savings in design fees for state agencies and municipalities by amending the requirement for initial documentation of a design's lifecycle cost is significant. DPW reviews an estimated 100 designs a year which means a potential savings of \$528,000 annually.

Paperwork Reduction - During FY 98/99 DPW began a paperwork reduction initiative with the State Properties Review Board (SPRB). Over the years, the process for DPW's submittal of negotiated consultant contracts and leases to the board for review and approval had grown into a major producer of paperwork, multiple copies and reports with limited use or value added.

DPW and the SPRB agreed upon three procedural changes that have already resulted in significant waste reduction.

1. **Past Practice:** Every amendment to a consultant contract submitted to the SPRB for review and approval had to be accompanied by copies of the original contract, previous amendments (if any) and all previously submitted backup material.
New Practice: For each consultant contract DPW will maintain a single cumulative file for every board member eliminating the need to reproduce the material for each amendment. The cumulative files will be submitted to the board with each amendment proposal.
2. **Past Practice:** Lease renewal option terms are approved by the SPRB in the original

lease. Submittal packages for the SPRB of lease renewals using previously approved terms were required to include the original lease and all previously submitted backup material.

New Practice: Submittal to the SPRB of a lease renewal under previously approved terms is now a one page memo indicating the agency's request for a lease renewal and stating that the terms of the lease have not changed from the original option to renew terms.

3. Past Practice: A statutorily mandated lease compliance report was submitted annually by DPW to the SPRB. The report listed all complaints for the past year from client agencies concerning landlords' failures to comply with the terms of a lease and the actions taken by DPW and the landlords to correct the problem. DPW saw no value in providing a list of past, remedied tenants' complaints and proposed legislation to repeal the mandate for the report. DPW's proposal passed as part of PA 99-75. New Practice: A substitute procedure was developed with the SPRB. Effective October 1, 1999, at the time a lease renewal or a new lease with an owner who has previously leased property to the state, is submitted to the SPRB for approval, the landlord's history of lease compliance will be included in the backup material. Having the landlord's history for compliance at the time of executing a lease puts the information in a useful context where it can be used as part of the board's evaluation process.

Strategic Planning

The Strategic Planning effort during the past year has focused on two areas: creating the necessary IT support to move DPW forward and refining staffing levels and skills based on workload analysis. Strategic issues and areas of risk are identified and addressed routinely by the agency Board of Directors. The agency's performance on critical indicators and program measures is reviewed internally and provided to oversight bodies. These continue to be refined as does the data collection process.

Information Reported as Required by State Statute

The Affirmative Action Unit received the Commission on Human Rights and Opportunities' (CHRO) approval of the department's Affirmative Action Plan on May 27, 1999. As of June 30, 1999 the Department had 245 full-time employees: 147 (60 percent) males, and 98 (40 percent) females, 55 (23 percent) minorities, 130 (53 percent) white males and 60 (25 percent) white females.

The Department of Public Works (DPW) encourages all employees to review the agency's affirmative action plan. All managers and employees received written notification with their paychecks on March 11, 1999 advising them that the agency's affirmative action plan was available for review.

DPW employees attended mandatory training on Sexual Harassment and "The Millennium Workforce Development Project - A Diversity Presentation". The Sexual Harassment Training addressed the changes in the law, and the Diversity Presentation involved self-identifying and assessment exercises. These exercises allowed people to identify their behavioral styles in the work place, and understand how to work with people more effectively.

The agency continued its commitment to increasing the representation of women in the DPW professional and para-professional workforce. One white female was promoted into the professional category, and two black females were promoted into the para-professional category.

The contract compliance unit continues to assist contractors (who are the lowest successful bidders) in developing affirmative action plans for approval by CHRO. The fiscal year 1998-1999 set-aside goal for construction contracts, facilities management contracts, direct purchase orders and personal service agreements was \$12,537,376. At the close of the fiscal year 1998-1999 the DPW had reached \$40,507,739 which represents 323.1 percent of the goal. In regards to the Minority and Women business utilization goal of \$3,134,344, the DPW at the close of the fiscal year 1998-1999 had reached \$21,159,306 which represents 675.1 percent of the goal.

The Department of Public Works participated in the Summer Youth Employment Training Program from July 6, 1998 to August 14, 1998. The department provided 12 Hartford High School students with a total of 90 hours of work. The job duties included the following: an-

swering phones, photo copying, doing errands, filing, organizing plans, organizing plan room, retrieving data from the drawings and inputting the information into computers, sorting, computer work, and typing. These job duties, combined with 90 hours of school, helped the students to develop marketable skills.

DPW also hosted an intern from the Hartford College for Women Computer Training Program. The intern performed a wide range of clerical duties in the Deputy Commissioner's Office. In addition, fourteen employees served as mentors to students from the West Middle School State of Connecticut Tutoring Program. Students in the 1st and 3rd grades from Kinsella Elementary were tutored in reading and mathematics. DPW was one of eight agencies to participate in this venture.

The department continued its open door policy with representatives from the Small, Minority and Woman-Owned Enterprises in an effort to increase their participation in acquiring state contracts. Nearly 25 representatives met with department officials during fiscal year 1998-1999. Representatives from DPW have conducted several workshops to inform SBE, MBE and WBEs about the contracting opportunities. The department has worked closely with the National Association of Women in Construction, the Association of General Contractors, the Urban League, the Contractor's Development Center, the National Association of Minority Contractors, and the Connecticut Minority Supplier Development Council.

In June, 1999, DPW hosted an open house for Small Business Enterprises (SBEs), Minority Business Enterprises (MBEs) and Women's Business Enterprises (WBEs). The purpose of the open house was twofold. A primary purpose was to provide an opportunity for individuals, large and small, from the construction community to network and to learn about state agencies' bidding processes. Over 100 representative of contracting state agencies, large construction companies, SBEs, MBEs and WBEs attended the half-day event.

The department's achievements in opening doors for Small, Minority and Women Business Enterprises were acknowledged in June of 1999. A special tribute and award ceremony was sponsored by a coalition of construction related groups and individuals representing large corporations as well as small and minority enterprises.

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Department of Revenue Services

At a Glance

GENE GAVIN, Commissioner
Fred. H. Lovegrove,
Deputy Commissioner
Joseph W. Mooney, Chief of Staff
Richard D. Nicholson, First Assistant
Commissioner & General Counsel
Established – 1901
Statutory authority – CGS Sec. 12-1
Central office – 25 Sigourney Street,
Hartford, CT 06106-5032
Internet address –
<http://www.state.ct.us/drs>
Number of employees – 838
Recurring operating
expenses – \$51,784,188
Organizational structure – Eight Divi-
sions: Administration, Appellate, Audit,
Collection & Enforcement, Information
Services, Legal, Operations, and Tax-
payer Services

Mission

The mission of the Connecticut Department of Revenue Services (DRS) is to administer the tax laws of the State of Connecticut and collect the tax revenues in the most cost effective manner; achieve the highest level of voluntary compliance through accurate, efficient and courteous customer services; and perform in a manner which instills public confidence in the integrity and fairness of the state's tax programs.



Statutory Responsibility

DRS is the administrator of state tax laws and collector of state tax revenues. DRS exercises its authority fairly and impartially for both the state and the taxpayer. The agency is responsible for ensuring voluntary compliance with the tax laws and accomplishes this by educating the public about their tax responsibilities and assisting taxpayers in filing appropriate tax returns and paying taxes. It also has the authority to initiate action to collect unpaid taxes and apply enforcement measures, when necessary.

Public Service

During Fiscal Year 1998-99, DRS continued to expand its services to the public. Through various initiatives such as proposing changes in the tax statutes to make them clear and user-friendly, internal and external process changes and greater use of technology, DRS has streamlined each aspect of its operations. The agency has increased the number of taxpayers served by every division, added educational offerings, and made it faster and easier to file tax returns, receive tax refunds and to pay taxes.

Internet Services Expanded

The DRS website places all the agency's resources at the fingertips of taxpayers. With the addition this year of tax registration applications and the full complement of tax returns and information about taxes, there is little need for either business or individual taxpayers to use their time to visit DRS offices. Taxpayers can access forms and publications free of charge from their own personal computer or from libraries and other public service offices. In addition, the Taxpayer Services Divisions inaugurated a free subscriber service, DRS E-News to update interested taxpayers and tax professionals by e-mail when new publications or forms are issued or changes are made to existing ones. Notices include on-line links to the document referenced, providing instant access for reading and downloading, for the subscriber. This is a fast and efficient way to provide the latest tax information to both Connecticut and out-of-state interested parties.

During the tax filing season, the Information Services Division developed an on-line Property Tax Calculator for the Website to assist taxpayers in automatically calculating the appropriate property tax credit to use on their individual income tax returns.

Customer Contacts

Although DRS is emphasizing the speed and efficiency of Web site communications, the agency places a high priority on person-to-person contacts with taxpayers to establish a taxpayer friendly atmosphere and maintain dialogues with its customers. The Taxpayer Services Division assisted nearly 300,000 taxpayers who contacted our office by phone, e-mail or letter, or visited one of the five regional offices in person. The Division provided 84 speakers for meetings and events outside the agency, in addition to over 100 speaking engagements and media appearances filled by the commissioner and the executive team.

Throughout the year, revenue examiners in the Audit, Operations and Collections & Enforcement divisions provided assistance to taxpayers who receive inquiry letters regarding potential liability in a variety of tax types. Taxpayers who failed to file returns timely are given the opportunity to comply by filing returns instead of being audited. The benefits are increased compliance, avoidance of the costs associated with conducting a full audit, and the increased awareness by taxpayers of the tax laws pertaining to the taxes of the State of Connecticut.

During the 1999 tax filing season, a pilot electronic filing program offered taxpayers the unique opportunity to electronically file their federal and Connecticut returns at walk-in locations in Hartford and Bridgeport at no charge.

Another pilot program in 1999 mobilized a special unit of Spanish-speaking DRS employees to provide assistance to Hispanic, Latino and other Spanish-speaking taxpayers with limited understanding of English. A special option to select the service was added to the DRS toll-free telephone menu. The volunteer group logged more than 1,300 hours for the 2 ½-month period, during which they also performed their regular, full-time jobs. A final report recommended continuing this service during the next filing season under more formal administrative direction.

Expanding Partnerships

Committed to developing partnerships with external customers, professionals in the tax community, and other federal, state and local agencies, DRS has expanded its public service in education, and compliance. It has played a key role in developing tax policy that impacts not only state tax matters, but federal tax administration.

DRS partnered with the Institute of Professionals in Taxation (IPT), a national educational organization, to present the first IPT co-sponsored tax seminar in Connecticut. DRS staff presented more than a dozen tax topics. The event, which also included experts on property taxes in local Connecticut jurisdictions, was well-attended by public and private sector tax professionals from five states.

Responding to the interests of corporations, DRS hosted two Corporate Business Tax Credit seminars held in Newington and Bridgeport in February 1999. A capacity attendance learned about 12 state tax credit programs administered by DRS, and other state agencies. The seminars greatly assisted the tax practitioners and corporate/business representatives gain a clearer understanding for participation in legislated programs that would reward the participating companies with tax credits that could lower their Connecticut tax liabilities.

DRS and the Department of Mental Health and Addictive Services (DMHAS) continued their joint effort to curb underage smoking. Special Investigation Section agents from DRS conducted over 14,172 inspections of businesses where cigarettes were sold over the counter and in vending machines. DMHAS inspectors found 1,210 cases of alleged violations by tobacco retailers of the tax laws regarding sales of tobacco products to minors. These cases were referred to our Collection and Enforcement Division (C&E) for enforcement action. Letters were sent to 1,115 first time violators explaining the law and outlining the fines for second or third violations. Hearings were held for 295 second violations of which 252 fines were assessed. By the end of the fiscal year, DRS had collected \$59,750 in fines. Thirteen cases are still under appeal.

DRS was also involved with investigations and research on procedures related to the sale of "gray market" cigarettes that developed because of the National Tobacco Settlement. The De-

partment took an active role in framing state legislation to control and regulate this type of product, which could have affected, in a negative manner, both the problem of youth smoking and tax revenue related to cigarette sales.

The Audit Division and the Legal Division have worked together to resolve taxation issues regarding enrolled members of the federally-recognized Native American tribes in Connecticut. Creation of an in-depth information publication is in progress.

The Inheritance Section of the Audit Division's Public Services Taxes Unit conducted a survey of Probate Courts and estate tax attorneys in an effort to determine the level of service currently being provided by Inheritance Unit staff and to solicit comments on ways it can improve service in the future. The overall response was very positive and suggestions for improvement will be implemented in the upcoming year.

Revenue Examiners attended the semiannual Connecticut Town Clerk Conference to present information and legislative changes involving the real estate conveyance tax. By working closely with town clerks, DRS is able to maintain a better level of compliance with the filing of these taxes at both the state and municipal level.

DRS developed an agreement between the DRS, the Department of Motor Vehicles (DMV) and the Greater New York Automobile Services, Inc. (GNYDA), that would allow GNYDA to register and report sales tax collected from their members' motor vehicle sales on GNYDA's filed Connecticut sales and use tax returns. An agreement was also developed between DRS, DMV and participating Connecticut motor vehicle dealers, that allows Connecticut dealerships to report sales tax collected from courtesy deliveries on their Connecticut sales and use tax returns.

Audit Division staff participated as committee members on a national task force of the Federation of Tax Administrators concerning Electronic Data Information Audit and Legal Issues.

The Discovery Unit, Sales Tax Field, and the Internal Revenue Service continue to work on joint programs which include reviewing industries that have tax compliance problems for both the federal agency and DRS. Projects include collaborating with other states and federal agencies.

During 1998-1999, DRS continued to be an active member of the International Fuel Tax Agreement (IFTA). The Department has a very visible presence within the IFTA audit community. DRS was represented on the IFTA Audit Committee in the position of Vice-Chair. The Department's role will increase to that of IFTA Audit Chair in July 1999. This committee is responsible for overseeing the audit activities of the 58-eight jurisdiction membership.

A revenue examiner was made a member of the Federal Highway Administration's (FHA) Motor Fuel Reassessment Committee. The purpose of the committee is to improve and make consistent the monthly reporting of motor fuel activity by each state. This will ensure Connecticut gets its fair share of federal highway monies from the FHA.

Student Internships

To interest minority students in accounting and finance careers, DRS has continued to expand its student internship programs, working with the Academy of Finance at Weaver High School (Hartford), the Capitol Region Workforce Program and school systems in cities where our regional offices are located. The C&E Division's Quality Control and SIS units and the Audit Division have been able to retain several of these students after graduation.

Improvements/Achievements 1998-99

Quality Award

DRS received its twelfth award since 1995 and its fourth Gold Innovation Prize from the Connecticut Quality Improvement Award Partnership. The winning program was the Managed Audit Pilot Program (MAP) which began in 1998. MAP is an innovative approach to traditional sales and use tax audits which significantly reduces the personnel and resources needed by both DRS and the taxpayer to complete an audit. It is considered to be taxpayer-friendly by needing less presence by DRS on the taxpayer's premises while enabling DRS to provide a high level of education to taxpayers about the tax laws. The MAP's success encouraged the Commissioner to form an ad hoc task force on managed compliance with representatives of private industry and tax professionals joining DRS staff to study the potential for a broader program in Connecticut.

The task force developed model legislation, which was approved by the 1999 General Assembly and Governor Rowland and that has enabled the full implementation of a managed compliance program — the most comprehensive in the country.

Rebate '98

Rebate '98, a program approved by the General Assembly and Governor Rowland, placed unusual demands on our agency to process and distribute 956,000 rebate checks in a six-week period. The cross-functional teamwork among divisions as diverse as Information Services, Operations, Taxpayer Services, Legal and Administration was the key to successfully implementing the program which gave back \$102,000,000 of the prior fiscal year's surplus to taxpayers.

Y2K Compliance

DRS earned recognition as the first major state agency to be rated as compliant at the April 1999 reporting milestone set by the Department of Information Technology, a testament to the substantial agency resources that were dedicated to it throughout the fiscal year. With the assistance of an outside vendor, the Information Services Division (ISD) coordinated the remediation of existing systems and testing all applications. As part of the Y2K initiative, all hardware and supporting operating systems were upgraded to be Y2K compliant. In addition, nearly 400 new personal computers were installed by ISD throughout the Agency, providing virtually every employee with the state-of-the-art tools needed to perform their jobs efficiently and effectively. In order to provide the resources necessary to support all of these end users, ISD is completing an upgrade of the entire network infrastructure. The new network, based on Microsoft NT technology, provides redundant backup capabilities and access for everyone to office productivity products, electronic mail, the Internet (when appropriate) and the agency's expanding internal Intranet.

Internet Top 100 List

We continued to post the Top 100 delinquent taxpayers on the DRS Internet site. Our experience is that we are able to collect overdue revenues from those top taxpayers, as well as gain compliance from other taxpayers who do not want to have their names published. By the end of the fiscal year, over \$52 million had been collected from tax deadbeats, and approved payment plans are expected to bring in an additional \$12 million. Over all, the collection portfolio has been reduced over 16 percent. The US General Accounting Office used DRS information as the starting point for its report to Congress on use of the Internet for tax compliance.

Operation EQUITY

The Department has launched OPERATION EQUITY — a program that allows the Commissioner to share with revenue agencies of other states certain revenue that is collected by us as a result of use tax assessments that are made against purchasers of tangible personal property or services. Once fully implemented, the program is expected to generate significant revenues from previously unreported use tax.

Business Process Focus

DRS continued to focus on streamlining its core processes to reduce both cycle time and the cost of doing business. For the first time this year, direct deposit of income tax refunds was available to Connecticut taxpayers. This gave them faster and more convenient availability of funds. Non-paper tax return filing methods— Telefile, personal computer filing and electronic filing —were promoted extensively by the Commissioner and agency staff. As a result, Connecticut realized an overall 64% increase in these cost-effective methods. Telefiled returns doubled the previous year's record and electronic filing increased 50%. The agency is proud of being the fastest state agency in the nation in returning tax refunds to taxpayers. All refunds due non-paper filers are mailed or direct deposited within four business days, and over 90% of all refunds are delivered to taxpayers within 15 days.

Realignment of several programs in the Audit and C&E Divisions has increased efficiency and improved performance results from new and continuing compliance programs. In the Audit Division alone, assessments were more than 15% higher than the prior year.

An Audit Selection Focus Group was created, coordinated by the Discovery Unit, to review the industry or market segment universe or sample and determine which would be the most productive for audit. The group meets regularly to discuss status of the selection, new programs, past results, timeliness, future audit plans, etc.

Discovery, Sales Tax Field, and Refunds, Clearances and Adjustments units have teamed up to form a Nonresident Contractor Bond task force, which will affect how contractors conduct business in Connecticut. It will identify nonresident contractors using various sources and obtain all registration and contractor bond required documents. It will also develop audit procedures for administration, office and field personnel when auditing the nonresident contractor and related contractors or building owners.

Continued efforts by our North Eastern State Tax Officials Association (NESTOA) Work Group/Training Sessions to get all northeastern states together to discuss areas of mutual concern, result in dollar savings and reduced resource expense by sharing ideas and programs already created by each other.

New Legislation

DRS continued to play a significant part in developing new tax legislation that is clear, concise and user-friendly. The successful initiatives that top the list of new laws are those establishing the Managed Compliance Program (for business taxpayers); the bill bringing Connecticut into alignment with the taxpayer friendly elements of the 1998 federal IRS Restructuring and Reform Act (individual income tax) and the sales tax changes (both business and consumers). Several corporation business tax credits were also revised to make them more user-friendly, and new ones added. Throughout this report, mention is made to new legislation that enables DRS programs to be initiated.

Reducing Waste

The promotion of non-paper filing of tax returns is resulting in significant taxpayer savings through reduced paper and printing costs, as well as postage and future records storage. Non-paper returns also reduce the number of manual handling steps that are required and reduce human errors because of computerized processing.

The availability of forms and other important taxpayer information on the DRS web site has also substantially reduced DRS printing and mailing costs as well as decreased employee time spent on processing and mailing forms requests.

Predictive dialing to contact taxpayers with tax debts was increased this year by the C&E Division. The Year 2000 compliant "virtual office" system allows the Department far greater flexibility in work assignments and ensures optimum use of personnel resources. In one tax type alone, inheritance tax accounts, collection activities resulted in an increase of 594 percent over last year's collections.

C&E initiated contact with over 11,000 taxpayers who filed a 1997 Federal Income Tax return using a Connecticut address, but did not file a Connecticut return. Due to its ability to handle a high volume of inbound phone traffic, mailings to taxpayers were able to be sent all at once, rather than over a several month time span as had been done in the past.

Realignment of several programs in all divisions has reduced cycle time, increased efficiency throughout the agency and improved results from compliance initiatives.

The administration of the Income Tax Non-Filer Compliance Program was transferred from the Audit Division to C&E. Audit staff may now concentrate their efforts on other revenue producing projects that will improve compliance in new areas. An example of this is the Audit Control Unit researched over 4,000 pieces of correspondence, 110 of these were referred to C&E for further action. As of June 15, 1999, over 2,200 tax returns, with payment of \$651,500 have been received as a result of this initiative.

The Inheritance Section and the Gift and Real Estate Taxes Section of the Audit Division's Public Services Taxes Unit began automating several audit programs to increase efficiency and reduce waste by eliminating the need for paper copies of correspondence and the costs associated with filing. These programs will also accommodate audit programs involving other tax types within the agency.

The Operations Division developed several new systems that not only streamline essential

processes, but are Y2K compliant. Among these are a new remittance processing for ensuring deposits are expedited, and a new data entry system that greatly increases our data capture and update capabilities.

Information Reported as Required by State Statute

Nexus Project Report

In accordance with Public Act 97-309, the Connecticut General Assembly, in cooperation with the Commissioner of Revenue Services, initiated a compliance/discovery initiative to identify unreported income from non-residents who have Connecticut-source income and out of state businesses that are doing business in Connecticut but have not registered for Connecticut taxes. The program was also intended to identify non-registered or under-registered Connecticut businesses. The program goals were to generate \$58 million in new assessments and collect \$30 million in new revenue during the two-year period mandated for the program.

This fiscal year alone, the program generated \$46,867,259 in new assessments and collected \$20,270,498 in new revenue. Over the two-year term of the program the initiative far exceeded expectations. A total of \$86,675,055 in new assessments (49% more than its goal) and \$35,152,620 in new revenue (17% more than targeted) were realized.

Affirmative Action

The Commission on Human Rights and Opportunities applauded the DRS for achieving greater than 50% of its hiring and promotional goals in its January 1999 Affirmative Action Plan. Additionally, the Commission commended the DRS for exceeding its contract set-aside goals for both small business and minority enterprise businesses.

The Office of Diversity, Education and Equity finalized its department-wide training needs assessment. The assessment prioritizes departmental training needs and will provide the focus and direction for employee training in the DRS for several years.

The Commissioner's Office, Division Directors and the DRS Diversity and Equal Opportunity Advisory Committee continue to work together to achieve annual objectives established at the Committee's annual meeting. The Committee continues to be successful in initiating new programs and sponsoring various diversity-related activities. The following were the Committee's accomplishments during the fiscal year:

- Initiated an agency Communication, Mentoring and Training program.
- Implemented an agency-wide alternative work schedule program.
- Began researching an agency service rating standards program.
- Continued its student internship program throughout the year.
- Offered several diversity-related training programs.

In conjunction with Public Act 98-205, the DRS provided an on-site job evaluation for a client of the Bureau of Rehabilitative Services. The DRS subsequently hired the candidate.

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Office of the Secretary of the State

At a Glance

SUSAN BYSIEWICZ,
Secretary of the State
Maria M. Greenslade,
Deputy Secretary of the State
Established - 1638-39
Statutory authority - CGS Sec. 3-77ff
State Constitution
Central office - 30 Trinity Street,
Hartford, CT 06106
Number of employees -
General Fund:
48 permanent full-time
Commercial Recording Division -
58 permanent full-time
Recurring operating expenses -
General Fund: \$3,065,684
Commercial Recording
Division: \$4,019,947
Revenue deposited -
General Fund: \$1,289,761
Commercial Recording Division:
\$15,000,072
Organizational structure - Office of the
Secretary (Kelly Ramsey, Capitol Office
Director); Commercial Recording (Diane
Steir, Acting Manager); Election Services
(Thomas H. Ferguson, Director); Man-
agement and Support Services (Jane A.
Ellis, Business Manager); Records and
Legislative Services (Peter J. Bartucca,
Director)

State Board of Accountancy

DAVID L. GUAY, *Executive Director*
Established - 1907
Statutory authority - CGS Sec. 20-279b ff
Number of employees - 4

Mission

The Office of the Secretary of the State will be a leader in providing quality, prompt public service and promoting a spirit of democracy and civic participation through a highly motivated team of employees committed to excellence and professionalism. The Secretary of the State educates and informs the public of services, programs and responsibilities of the office, and advocates issues, policies and programs which promote a healthy democracy and an active, engaged citizenry with emphasis on encouraging young people to participate in civic life.



Statutory Responsibility

The Secretary of the State is designated by the Constitution and General Statutes of Connecticut as the official keeper of a wide array of public records and documents. The office is a vital source of information regarding various businesses, commercial lenders, elections, legislation, regulations and other areas, and responds to more than 600,000 requests for information annually. It also publishes, distributes and sells the State Register and Manual and other publications.

Connecticut law makes the Secretary of the State responsible for the administration of many aspects of the corporation and limited partnership laws including the approval of all certificates of incorporation, organization and dissolution, as well as annual and biennial reports. Trademarks are registered here as well.

As Commissioner of Elections for the State of Connecticut, the Secretary is charged to administer, interpret and implement election laws and ensure fair and impartial elections. Under the terms of the National Voter Registration Act of 1993, the Secretary has the same responsibility for federal elections.

The State Board of Accountancy, which licenses certified public accountants and regulates certified public accountants and public accountants, operates within the Office of the Secretary of the State.

Affirmative Action: The Office of the Secretary of the State is firmly committed to a personnel management program designed to ensure equal opportunity for all employees and applicants for employment without regard to race, color, religion, age, sex, marital status, national origin, ancestry, mental retardation, physical disability, prior convictions of a crime, sexual preference, past or present history of mental disorder or political affiliation. The elimination of sexual harassment is also an important element of the agency's comprehensive affirmative action program.

Public Service

The office serves the public through five divisions:

Commercial Recording files and maintains legally required records showing the formation of and fundamental changes to corporations, limited liability companies, limited liability partnerships, limited partnerships and other businesses. The Commercial Recording Division disseminates that information to the general public and the business, banking and legal communities. Transactions relevant to security interests in personal property are perfected by filing statements under the Uniform Commercial Code statutes with the Research and Response unit. These filings protect the holder of the security interest by securing the lien and providing public notice that such interest exists. Trade, service, collective, certification and device marks are granted registration and the division investigates and collects fees and penalties from foreign corporations doing business in Connecticut without authority.

Election Services administers, interprets and implements all state and federal laws pertaining to elections, primaries, nominating procedures, campaign finance and the acquisition and exercise of voting rights. Personal disclosure statements from both state and federal political and candidate committees are filed with the office and are available for public view. The Elections Division also encourages and monitors the implementation of the National Voter Registration Act and other voter registration efforts in Connecticut. In conjunction with local Town Clerks and Registrars, the division provides training for local elected officials. The division is currently working with local officials to develop ConnVERSE, the Connecticut Voter Enhanced Registry and Management System, a statewide computerized voter registry system, and, with state and local officials and candidates to develop the Connecticut Finance Information System (CFIS), which will provide on-line campaign finance reporting.

Management and Support Services supports the office in the areas of human resources, affirmative action, fiscal administration, business, revenue depositing, purchasing, data processing and other support services as well as being the distribution and sales agent for the Connecticut State Register and Manual (the "Blue Book") and other agency publications.

Records and Legislative Services is the official keeper of all acts, orders, grants and resolutions of the General Assembly, publishes the State Register and Manual, receives and maintains legislation, regulations and other executive branch records as required by statute, administers Connecticut's notary public program and provides records management services to the office. The division has also maintained the Secretary of the State's Website and updates the "Interactive" State Register and Manual on a daily basis.

The State Board of Accountancy, which regulates the practice of public accountancy and licenses Certified Public Accountants, operates within the Office of the Secretary of the State. The Board is composed of seven members appointed by the Governor. It is the Board's responsibility to ensure that the highest standards of integrity and professionalism are maintained by Connecticut's Certified Public Accountants and licensed public accountants.

Citizenship and Education Programs

A fair and impartial election process can only exist in a healthy democracy where there is active and consistent citizen participation. Because of concern over declining voter participation and to maintain a high level of voter registration, the Secretary of the State's office offers several programs to the public.

Youth-oriented programs:

Student Citizenship Awards: An annual award is presented to one high school senior and one eighth grade student in participating Connecticut public, parochial and independent middle and high schools. The school selects students for the award using criteria provided by the Secretary of the State's office including community service, leadership, excellent attendance and scholastic records and participation in school government programs and organizations. In 1999, 104 middle schools and 61 high schools participated in the program, and the Secretary of the State or members of her staff presented 55 awards in person.

Citizenship Essay Contest: A writing and citizenship program for fourth grade students on the theme, "Something I learned about Connecticut this year that surprised me," complements the fourth grade curriculum on writing skills and Connecticut history, including historic attractions in Connecticut. There were 522 entries, and 20 winners were given awards and gifts at the State Capitol by the Secretary of the State Susan Bysiewicz and First Lady Patricia Rowland. This program is co-sponsored by the Office of the Secretary of the State and the Connecticut Office of Tourism.

Citizenship Poster Contest: This is a contest for fifth grade students designed to heighten awareness of good citizenship and its significance in a healthy democracy. The 1999 theme was: "Good citizenship is happening in my community." Over 500 posters were submitted, and the top 33 winners were invited to an award ceremony at the State Capitol, and later had their winning posters put on display in the Concourse of the Legislative Office Building.

Tutorial Program: In this program sponsored by the West Middle School Committee, Inc., Secretary of the State's office employees volunteer to tutor 3rd and 4th grade students from an inner city school on a weekly basis.

Capitol Forum: This *Choices for the 21st Century* program initiated by Brown University engages high school students in consideration of international issues and seeks to strengthen the quality of civic life in the United States. Currently only two states offer this program: Connecticut and Nebraska. Co-sponsors in addition to the Secretary of the State's office are the League of Women Voters of Connecticut Education Fund, Inc., the Connecticut Council for the Social Studies, the University of Connecticut Institute of Public Service and the Choices for the 21st Century Education Project, Watson Institute for International Studies at Brown University.

First Vote Connecticut: A program for high school juniors and seniors providing information on the importance of voting, voting procedures and democratic principles, First Vote includes a brief curriculum for teachers, handbooks for students, and coded voter registration cards. Already used in more than 100 schools in Connecticut, this national program is co-sponsored by the Close-Up Foundation. From January 1998 to October 1998 65 high schools participated and 11,300 First Vote booklets and registration cards were mailed. The Hartford Insurance Group provided a grant to cover much of the printing costs for the First Vote booklets.

Internship program: The office recruits interns from public and private colleges and universities in Connecticut and other states (via the Internet). Internships are unpaid, but academic credit can be arranged with the consent of the college.

Other programs:

Community Conversations on Race: 1998 saw the launch of the Community Conversations program, sponsored by the Metro-Hartford Millennium Project. The Secretary of the State's office has been an active partner in this initiative and has its own in-house facilitator trained to conduct future conversations. Other partners include Aetna, Inc., DemocracyWorks, MetroHartford Millennium Project, and the National Conference for Community and Justice.

Naturalization Ceremonies: Naturalization ceremonies are held monthly in Bridgeport, Hartford and New Haven, and are staffed by employees of the Secretary of the State's office. Few if any of the new citizens leave without first registering to vote. There are four sessions per day and approximately 250-350 people become new citizens.

State of the Democracy Report and Conference: Preparation and research is under way for the third biannual *Report on the State of the Democracy in Connecticut*. The report will be distributed prior to a conference in the spring of 2000.

Census 2000: The Secretary of the State is a strong advocate for an accurate census in 2000.

She works in partnership with the Census Bureau of the Department of Commerce to communicate the importance of a complete count, and the significance of the loss of federal funding should significant under-counting take place, as it did in 1990.

Improvements/Achievements 1998-99

Election Services: Pursuant to CGS 9-241, the Secretary of the State, as the chief election official of the state, must approve and certify any voting equipment to be used in the state. On December 29, 1998, conditional approval was granted to Global Systems, Inc. for a ballot-scanning device, "Accu Vote ES 2000," which to date offers the only technology that can accommodate a full-face ballot as required by Connecticut law. Samples of some of Connecticut's most complex ballots were tested. Regulations are currently being formulated, and beta testing of this equipment is scheduled for November 1999.

For the first time in Connecticut, an agreement was reached with major daily newspapers in Connecticut placing voter registration cards inside the newspaper as part of a special series on voting. Both the Hartford Courant and the Connecticut Post participated in this effort.

Collaboration with the Connecticut Business and Industry Association to enlist businesses in voter registration efforts for their employees, customers and clients led to the participation of hundreds of leading corporations. CBIA's voter registration program is geared to increasing the involvement of every business by providing each participant with material and training. The division also worked with leading financial institutions to promote "voter registration weeks" at local credit unions and bank branches. These and other efforts have resulted in a registration rate over 85 percent. In addition, the total number of "active" registered voters for the 1998 election was 1,804,837, a decline of 1.1 percent from 1997 - the smallest decline in a non-presidential election year in Connecticut in 16 years. Taking into account the 164,487 voters on "inactive lists," there was actually a .5 percent increase in the number of eligible voters since 1997, the first increase in the number of eligible voters in a non-presidential election year since 1973.

The design phase of CFIS, the Campaign Finance Information System, was completed as of July 15, 1998. This system allows campaign, political or town committees to register and report their financial transactions electronically via the Internet. It also allows the public to review both electronically filed registration and financial data. The registration information for all town committees and ongoing committees has been entered into the system. While there are still a few design issues to be resolved, plans are proceeding to encourage PACs, town committees and candidate committees to utilize the system. In addition, funding from the legislature in the agency's FY2000 budget will enable the division to input campaign filing report data effective with the 2000 campaign cycle.

The ConnVERSE (Connecticut Voter Enhanced Registry and Management System) provides the functions required to process voter registration applications and to support the types of information requests received by Registrars of Voters across the state. There are currently 118 towns on the system, with 28 in the installation process. The Secretary of the State has set a goal of having 90 percent of all Connecticut cities and towns on the system by the end of 1999.

Records & Legislative Services: The division has been responsible for the management of the Secretary of the State's Website. Each of the divisions and the Capitol and Administrative offices are represented on the site (www.state.ct.us/sots). The site includes mailing addresses, telephone and fax numbers, directions to the office, fee schedules, and descriptions of various services and programs offered by the office. In addition, forms are available for printing (downloading) and, for the first time, the Connecticut State Register and Manual, commonly known as the "blue book" is published on the site, enhanced with hyperlinks to other important or related sites on the Internet. The division will be able to keep the "Interactive State Register and Manual" up-to-date on a daily basis.

Working cooperatively with the Commercial Recording Division, the Records and Legislative Management Division assisted in putting CRD and notary public forms on the website.

The division also completed several microfilming projects designed to enhance direct public access to records on file in the Commercial Recording Division. Records filmed include 15 years of corporation annual reports, bank documents submitted to the office from 1854 to 1988, and various Uniform Commercial Code records such as Vessel Lien and Attachment filings.

The unit also initiated an ongoing program to provide new public use copies of approxi-

mately 600 corporation microfilm volumes.

Commercial Recording Division: CRD continues to work to allow real time access to corporate and UCC (Uniform Commercial Code) filings via the Internet. During the spring of 1998 the division began to research the feasibility of placing inquiry access to the Concord (Connecticut On-Line Commercial Recording Database) system out on the Internet. At present there are 90 paying remote on-line customers accessing Concord. It is projected to be available by Internet access to the general public by the end of 1999. Anyone who had access to the World Wide Web will be able to go to the Secretary of the State's Web Page and then to the Commercial Recording Division database.

When the Concord system was implemented, the work performed by the staff changed. The unit was completely paper based prior to the Concord system. Once Concord was implemented, the unit become 100 percent computer based, began to record information regarding method of payment and completed all aspects of a received document from beginning to end. With these changes the agency realized that the staff was doing more work as well as different types of work. Training and upgrading of the staff was completed in 1998, with the exception of the paralegal staff, which began training in 1999.

A fax filing committee was formed in April 1998 to review the acceptance of documents and requests by fax. The committee determined that the organizational documents of corporations (domestic, foreign, stock and nonstock) would be the starting point. They also recommended that a select number of customers be allowed to file by fax as a pilot program to work out any unforeseen issues prior to opening it up to the general public. Also, requests for copies and certificates of legal existence would be received by fax. That pilot program was successful, and we expect to allow fax filings by the public in general in the fall of 1999.

As of October 1, 1998, the Commercial Recording Division reached a major milestone. All filings in the division are now processed within 24 hours of receipt. Work is received by the division, distributed to staff, and processed either on the same day, or early the next morning.

To further improve customer service, the division has expanded the Public Service Area counter hours from 8:45 a.m. - 3:00 p.m. to 8:45 a.m. - 3:30 p.m. This gives the business community more time during the year-end filing season to submit requests and file documents.

Thanks to new legislation passed in the 1999 legislative session written to accommodate electronic commerce, the division will begin its research to enable document imaging and electronic filings in the future.

Management and Support Services: The Division of Management and Support Services has overseen the renovation of 30 Trinity Street. Currently all interior office space and customer service areas have been completed, and the project is scheduled to be finished by late 1999.

State Board of Accountancy: Work continues on a peer review process, with completion expected by September 1, 1999. The Board also continues to upgrade its technology, with special attention to being able to accommodate the non-traditional client by making new systems flexible and able to be individualized as needed.

Reducing Waste

The Secretary of the State's office has upgraded many of its systems to take advantage of new technology, which automates and improves the way it does business. All employees currently have voice-mail, which facilitates communication and eliminates unnecessary paperwork. In addition, the Secretary's goal is to give all employees e-mail and Internet access. That conversion is under way, with completion projected in 2000.

Also, the entire agency is being converted to standardized Microsoft Office application software, so that staff will no longer have to support as many different programs.

The completion of the ConnVERSE and CFIS systems by the Election Services division will achieve great reductions in duplication of records and conversion of paper systems to automated. Both systems are expected to be completed in 2000. Together with the CONCORD system of the Commercial Recording Division, these will allow greater access to information via the Internet, thereby reducing the number of inquiries the staff is required to personally handle.

The State Board of Accountancy is moving toward a paperless office and has upgraded its filing procedures to achieve greater efficiency and productivity.

Strategic Planning

The Secretary of the State began a new strategic planning process in June 1999. To date, the drafts of a new vision and mission statement have been written. Meetings are planned to obtain staff feedback and final approval. These, together with new goals, objectives and action steps, will be finalized by January 1, 2000.

In addition to the staff, other groups will be asked to review the new strategic plan. These include the advisory boards for business, registrars of voters, town clerks and sheriffs.

Sheriff's Advisory Board

At a Glance

High Sheriffs

JOSEPH E. BIBISI
GERARD E. EGAN
FRANK J. KINNEY
WALTER J. KUPCHUNOS, JR.
MIKE PICCOLI
CHARLES M. VALENTINO, SR.
THOMAS W. WHITE
RICHARD L. ZAHAREK,

Established -

Office of Sheriff - 1838;
Sheriff's Advisory Board -
1980

Statutory authority - CGS Sec 6-31;
6-32a; 6-32b; 6-32d; 6-43

Central office - 765 Asylum Avenue,
Hartford, CT 06105

Number of employees - 41

Number of Special Deputy
Sheriffs - 900

Recurring operating
expenses - \$25,468,588

Organizational structure - Eight High Sheriffs with administrative support from the Central Office (Office of the County Sheriffs) and an advisory board with specified statutory responsibility.

Mission

The High Sheriffs of the State of Connecticut are dedicated to maintain the highest standards to ensure the safety and protection of the citizenry we serve in a cost effective, efficient and professional manner. We are constitutionally established conservators of the peace. Among the many statutory responsibilities of the office are court security, prisoner transportation, and service of civil process. Of great importance are the community services which we provide to enhance the quality of life and which reflect our commitment to our constituents.

Statutory Responsibility

The High Sheriffs are statutorily responsible for the transportation of prisoners between court houses and correctional centers or other places of confinement as ordered by the Court. In addition, in Hartford County and New Haven County, the High Sheriff is responsible for the care and custody of prisoners in 24-hour detention centers that serve the cities in which they are located as well as surrounding municipalities and other state and federal law enforcement agencies. The Sheriffs are also charged with ensuring the safety and security of the State's courthouses, the workers therein and the public who utilize them.

Public Service

The staff of the Sheriff's Department are the most visible personnel in the courthouses. They assist the public entering the courts in many ways. All persons utilizing the courts must

first clear a metal detector to ensure that weapons or objects that could be used as weapons do not enter the building. This is done to ensure the safety of workers, the judges, those on trial and the public. The Sheriffs are trained in use of force techniques that allow them to assess a situation and handle it at the lowest level of force necessary to prevent injury to others, including the perpetrator. They are trained in cardiopulmonary resuscitation in order to respond to medical emergencies pending arrival of medical personnel. Prisoners in the custody of the Sheriffs are carefully monitored to ensure their safety and the safety of others around them. Operations for movement of prisoners within the courthouse and to and from the courthouse are done with the highest degree of safety and security to prevent escape or injury, but in a manner that ensures the rights of the prisoners involved.

Operations in all areas of security and transportation are constantly reviewed and monitored in each court location to identify areas in need of improvement or areas that require increased security measures. Prisoner transportation figures are kept on a monthly basis to monitor the movements of prisoners and to assess transportation operations. Safety statistics are maintained and any adverse incidents are addressed immediately with corrective action being taken.

Improvements/Achievements 1998-99

In preparation for the implementation of Pubic Act 97-148 that includes the Special Deputy Sheriffs in the State Employees Personnel Act, the State Employees Retirement Act and the Collective Bargaining Act the Agency undertook a close examination of its operations statewide. Information gathered will be valuable in developing standardized operations where such action is desirable and to justify the need for difference due to the unique situations of each location.

The High Sheriffs continue to examine the training being provided to new recruits and this year the Special Deputy Sheriff Recruit Training Academy increased to 21 days. Additional time was added to classes that require practical exercises, such as Management of Aggressive Behavior, handcuffing and the use of defensive spray, as well as a module presented by Alzheimer's Safe Return for dealing with persons suffering from this disease, presentations by the State's Attorney's Office, the Public Defenders Office and the Judicial Branch. These additional classes serve to further integrate the Sheriffs Department into the court system that it serves and creates greater understanding between departments that must work together efficiently to promote a safe environment.

The Sheriffs were able to implement the first phase of their approved technology plan on schedule and began work on implementation of phase two.

A Deputy Sheriffs Manual was developed and approved by the Sheriffs for use statewide. This manual represents the collaboration of all High Sheriffs to bring standardized procedures statewide to the service of process. A ten-day training was held for Deputy Sheriffs on the manual as well as handcuffing, use of defensive spray, management of aggressive behavior, sexual harassment and cultural diversity.

Reducing Waste

By enlisting the assistance of the Department of Information Technology, the Agency was able to implement its technology plan without having to contract for consultation services. Such services had been planned and through the assistance of DOIT, the agency was able to realize a savings of approximately \$20,000 in consultation and planning fees.

The agency reviewed its training needs on a statewide basis and compiled a list of certified trainers. The Sheriffs have agreed that certified trainers will be available on a statewide basis to conduct classes. This has reduced the number of certified trainers needed in each county and helps to ensure the consistency of standards in training statewide.

The statewide staffing of Special Deputy Sheriffs was reviewed and budgeting was done to bring equalization to all locations. The end of the fiscal year saw all jurisdictions at a staffing level of approximately 70% of the standard set by the Office of Policy and Management. Careful review of turnover and appointments will continue to ensure that staffing remains consistent statewide.

Strategic Planning

The Sheriffs produced their first four-year Strategic Plan during fiscal year 1999. This plan was developed during a self-assessment and planning session that included the High Sheriffs, their Chief Deputy Sheriffs and staff from the Office of the County Sheriffs. The agency's goals were developed to span a period of four years, with plans to review progress and make adjustments on an annual basis. The goals included: effectively communicating the reform that has occurred within the Sheriff's system over the past four years; continuing to increase professionalism of all Sheriff staff; working to improve statutory language that governs the Sheriffs' duties, responsibilities and structure; negotiating and implementing a collective bargaining agreement with the Special Deputy Sheriffs union in cooperation with the Office of Labor Relations-Office of Policy and Management.

Information Reported as Required by State Statute

There are five advisory board members as mandated by state law. The members are Frank J. Kinney, High Sheriff of New Haven County-Chairman; Joseph E. Bibisi, High Sheriff of Middlesex County-Vice Chair; Judge Robert Leuba, Chief Court Administrator; Nancy Wyman, State Comptroller; John J. Armstrong, Commissioner-Department of Correction. Meetings are scheduled bi-monthly.

The Agency administers its own budget and appropriates funds. It is assigned to the Comptroller's Office for administrative purposes only.



Department of Social Services

At a Glance

PATRICIA A. WILSON-COKER, J.D., M.S.W.,
Commissioner
Michael P. Starkowski,
Deputy Commissioner,
Administration
Rita M. Pacheco,
Deputy Commissioner,
Programs
Established - 1993
Statutory authority - Title 17b
Central office - 25 Sigourney Street,
Hartford, CT 06106
Number of employees - 2,530
Operating expenses - \$165,575,668
Program expenses - \$3,059,004,821
Organizational structure - Commissioner's
Office, Regional Administration, Admin-
istrative Operations, Program Operations

Mission

The mission of the Department of Social Services is to serve families and individuals who need assistance in maintaining or achieving their full potential for self-direction, self-reliance, and independent living.



**Connecticut Department
of Social Services**

Caring for Connecticut

Statutory Responsibility

The Department of Social Services (DSS) is a compassionate and responsive organization that effectively delivers the highest quality of services to help consumers improve the quality of their lives, and achieve and maintain maximum self-sufficiency. DSS continuously strives to achieve maximum accuracy, and has no tolerance for fraud and abuse.

The department is designated as the state agency for the administration of (1) the child care development block grant pursuant to the Child Care and Development Block Grant Act of 1990; (2) the Connecticut energy assistance program pursuant to the Low Income Home Energy Assistance Act of 1981; (3) programs for the elderly pursuant to the Older Americans Act; (4) the state plan for vocational rehabilitation services; (5) the refugee assistance program pursuant to

the Refugee Act of 1980; (6) the legalization impact assistance grant program pursuant to the Immigration Reform and Control Act of 1986; (7) the temporary assistance for needy families program pursuant to the Personal Responsibility and Work Opportunity Reconciliation Act of 1996; (8) the Medicaid program pursuant to Title XIX of the Social Security Act; (9) the food stamp program pursuant to the Food Stamp Act of 1977; (10) the state supplement to the Supplemental Security Income Program pursuant to the Social Security Act; (11) the state child support enforcement plan pursuant to Title IV-D of the Social Security Act; and (12) the state social services plan for the implementation of the social services block grants and community services block grants pursuant to the Social Security Act. DSS is designated a public housing agency for the purpose of administering the Section 8 existing certificate program and the housing voucher program pursuant to the Housing Act of 1937.

Public Service

Medical Services

The Division of Medical Care Administration ensures that low-income children, youth, adults, and seniors are able to access needed medical services through the Medicaid program. In the past year, more than 330,000 people each month were eligible for coverage, including some children and youth who were receiving services from the Department of Children and Families. The program covers all of the services required under federal and state law, as well as 31 of the 33 options in fee-for-services and managed care systems. Facilities available to clients include nursing facilities, chronic disease hospitals, inpatient and outpatient hospitals, clinics, physician offices, pharmacies, facilities for those who are mentally retarded, and psychiatric hospitals. Clients are also served in their own homes. Beyond standard medical services, DSS also provides medical transportation, plus dental, vision, and community care. In addition to Medical State Plan services, the department also operates state-funded and managed care programs.

On July 1, 1998, services began in the new *HUSKY* (Healthcare for Uninsured Kids and Youth) Plan, providing health care coverage to uninsured children up to age 19 in working families. *HUSKY* is a combination of Medicaid and a new health insurance service for children in higher-income families, and is the state's Child Health Insurance Program (Title XIX).

HUSKY A (family income must be at or below 185 percent of the federal poverty level) is traditional Medicaid coverage with no premiums or co-payments. *HUSKY B* is a comprehensive medical plan modeled after Connecticut state employee benefits. Eligible children must be state residents under age 19, and not covered by medical insurance for at least the preceding six months. Families with incomes from 186 through 235 percent of the federal poverty level pay no premiums, but do have some co-payments; those with incomes from 236 through 300 percent pay modest monthly premiums, and also have some co-payments; and those over 300 percent pay group premium rates negotiated by the state, plus some co-payments.

An inclusive *HUSKY* outreach program has targeted identified populations using a statewide toll-free hotline; inserts in state income tax booklets, motor vehicle registration and license renewals, and child care applications; a community-based services component which utilizes school health clinics, ethnic organizations, community action agencies, and other resources; mass media radio, television, and billboard campaigns; authorized plan-based marketing efforts; and an internet website.

The Connecticut Home Care Program for Elders, provides a comprehensive and cost-effective home care program designed to enable older persons at risk of institutionalization to receive the support they need to remain in their homes. The program provides a wide range of home health and non-medical services to people 65 and older who qualify financially and functionally. Available services include adult day care, homemaker, companion, chore help, home-delivered meals, emergency response system, care management, and home health. In the past year, this program served over 12,123 clients. The department is presently developing a pilot program to provide assisted living services.

The State Administered General Assistance (SAGA) program covers most of the same medical services available under Medicaid for single adults who do not qualify for Medicaid. Behavioral health services are administered by the Department of Mental Health and Addiction Services. On average, DSS serves approximately 19,000 unduplicated cases each month. The majority of these, some 15,000, receive medical assistance only.

The Connecticut Pharmaceutical Assistance Contract to the Elderly and Disabled (ConnPACE)

program provides pharmaceutical services to low-income Medicare beneficiaries. The Connecticut AIDS Drug Assistance Program (CADAP) provides pharmacy assistance for persons with AIDS or HIV conditions.

Services for Families and Children

For families and children, DSS operates *Jobs First*, Connecticut's welfare reform program, providing Temporary Family Assistance (TFA) to those in need of cash assistance. This is a time-limited program that emphasizes participation in the labor market as early as possible. The program provides Safety Net services to families who exhaust their 21-month time limit and are not eligible for an extension of benefits. DSS also provides child support enforcement, child care, food stamps, rental assistance and other housing-related services, preventive services, and medical coverage.

Under TFA, an unemployed parent with two children and no other income, who does not get a housing subsidy, receives \$543 in monthly benefits. Recipients can also receive special benefits, such as emergency housing, or moving and storage expenses. Additionally, the family may receive Medicaid and Food Stamps, help in paying for child care, and assistance in obtaining child support.

As of April 1999, DSS was helping 32,063 families in Connecticut. Of those families, 56.8 percent were in the time-limited program, 4.8 percent were in an Aid to Families with Dependent Children (AFDC) control group, and 38.4 percent were exempt from the time limit. Many families are employed but continue to be eligible for a monthly cash assistance benefit because their income is below the program's income limit (48.3 percent of the time-limited cases, 14.5 percent of the AFDC cases, and 31.2 percent of all TFA cases).

Jobs First established a time limit of 21 months for families who are able to work, with extensions for families who do not find a job that makes them financially independent. Families are referred to the Department of Labor (DOL) and regional workforce development boards for help in finding work, or for those who are already working, help in increasing their hours of work or wage level. During the 21 months, recipients must cooperate with DOL and make a good-faith effort to find a job and keep working. At the end of the time limit, a family may be eligible for an extension of benefits if they have income less than the payment standard, have made a good-faith effort to find work, or have experienced circumstances beyond their control which prohibited them from finding work or keeping a job.

Connecticut's welfare reform initiative has been very successful. The Aid to Families with Dependent Children caseload in December 1995, a month before the implementation of sweeping program changes, stood at 57,855. In June 1999 the department's client caseload, now called Temporary Assistance for Needy Families (TANF), had dropped to 30,676. This sharp decline in dependency came about because of a careful crafting of the *Jobs First* initiative through compassionate administrative and legislative collaboration.

Credit also came from Washington when U.S. Department of Health and Human Services Secretary Donna Shalala announced that Connecticut had exceeded mandated Federal Fiscal Year 1998 TANF work participation rates. The overall adjusted target was for 21.5 percent of the caseload to be working 20 or more hours per week; some 41.4 percent of the DSS caseload met that goal. The two-parent adjusted target was for 66.5 percent of the caseload to be working 35 or more hours per week; some 73.2 percent of the two-parent cases met that goal. The combination of time-limited benefits, earnings incentives, child care and health insurance assistance, and other services helped achieve these excellent results.

New in State Fiscal Year (SFY) 1998-99 was the HUSKY Plan, authorized under Title XXI of the Social Security Act, which combines traditional Medicaid and new services for children in higher-income families.

The comprehensive *HUSKY* benefits package includes preventive care, outpatient physician visits, prescription medicines, in-patient hospital and physician services, outpatient surgical facility services, mental health and substance abuse services, short-term rehabilitation and physical therapy, skilled nursing services, home health care, hospice care, diagnostic x-ray and laboratory services, emergency care, durable medical equipment, eye care and hearing exams, and dental care. Additional coverage for special physical and/or behavioral health needs is also available for eligible children under *HUSKY PLUS*.

Each month, the department provides over \$12 million in Food Stamps to 70,000 recipients

of public assistance and 105,000 other needy Connecticut residents, including over 80,000 children.

The DSS level of funding for child care programs and services increased by 44 percent compared to the prior year. This resulted in a considerable increase in the number of children and families served. In an average month, approximately 33,000 low-income children participated in the Child Care Assistance Program (CCAP), while grants in the amount of almost \$20 million to state-supported centers and school-age programs benefited almost 12,000 children by reducing the cost of care. Almost 5,600 child care spaces were created in the state's priority school municipalities for children ages three and four under the School Readiness Program, a joint initiative with the Department of Education. The State Bond Commission approved access to bond funds that benefited an additional 500 children who are now served in child care facilities built, purchased, renovated, or expanded in five communities. The Child Care Facilities Loan Fund awarded nearly \$9 million to help seven child care facilities expand opportunities for 600 preschool children.

Child Care INFOLINE, supported by DSS funds, received 34,695 telephone calls from parents interested in finding child care arrangements, an increase of almost 10 percent over the previous year. INFOLINE staff participated in technical assistance, training, community outreach, and consumer education activities serving almost 18,000 participants across the state. Through the Early Childhood Training and Resource Academy, a partnership with the Children's Fund of Connecticut, nearly 1,600 early caregivers completed 15 hours of basic early childhood development coursework.

Child support enforcement services are available to all families in Connecticut. Deprivation of a parent's support is the only criterion for eligibility for these services, regardless of a family's income. DSS, the lead agency for child support enforcement activity, works closely with the Office of the Attorney General and the Support Enforcement Division of the Connecticut Superior Court to establish and enforce paternity, financial, and medical support orders. The child support program is an important facet of welfare reform, assisting clients in their transition towards self-sufficiency.

DSS also supports programs that provide shelter and other support services to families who are victimized by domestic violence and abuse. In the past year, these programs gave shelter to more than 1,074 adults and 1,352 children. Department staff was trained to identify victims of domestic violence, helping them to make appropriate referrals and to exempt some individuals from program requirements—such as cooperating with employment services, locating absent parents, and establishing child support court orders.

Services for Elderly and Disabled

The federal Supplemental Security Income (SSI) program serves people who are elderly, disabled, or blind. When the program began, the Legislature chose to supplement SSI with state funds, creating the Old Age Assistance, Aid to the Blind, and Aid to the Disabled programs. As a consequence, elderly, blind, and disabled people in Connecticut receive more support here than they would in many other states. The State Supplement Program served 31,312 persons (8,736 aged, 161 blind, and 22,415 disabled) during this reporting period.

Through the Community Based Services Program, DSS provides social workers to support people with disabilities who live at home. Some of the home-based services include counseling, assessment, funding for adult companions, adult daycare, homemaking, home-delivered meals, and emergency response systems. In the past year, approximately 1,500 clients were served each month under this program.

The Personal Care Assistance Program operates under a Medicaid waiver to serve people with severe disabilities between the ages of 18 and 64. One of the innovative aspects of the program is that it allows consumers to hire, supervise, and train their own personal care assistants. This program currently serves about 160 clients.

The Acquired Brain Injury Program operates under a Medicaid waiver to serve people with acquired brain injuries. The program can provide as many as 21 different services for up to 500 eligible individuals as an alternative to institutional care. This program, which began in January 1999, currently serves 22 individuals; more than 200 persons have been referred to the program since it began operation.

The Disability Determination Unit helped process applications for Social Security Disability Insurance and Supplemental Security Income on behalf of 34,303 clients.

Through its Bureau of Rehabilitation Services, DSS provided vocational rehabilitation services to 9,632 disabled clients, helping them to succeed in employment. Of this number, 1,650 entered the competitive workforce. In addition, more than 870 individuals with disabilities participated in independent living programs supported through the bureau and provided through the department's network of five centers for independent living.

Through its Connecticut Tech Act Project, DSS continued its partnership with People's Bank to provide low-interest loans to enable persons with disabilities to buy assistive technological devices and equipment. To date, more than 115 loans have been approved, at a combined value of more than \$1,020,000.

Through ConnTRANS (the Connecticut Organ Transplant program, funded by donations from taxpayers), DSS helped 25 state residents who needed or had received an organ transplant when their expenses were not covered by another source.

In the past year, the Elderly Services Division provided a multitude of social services to an estimated 100,000 seniors across the state, and also coordinated the state's aging network. Such services included elderly nutrition projects, transportation, home care, housekeeping, meals-on-wheels, escorts and companions, elderly health screening, self-help groups, family counseling, and support groups. DSS also supported senior centers, adult day-care centers, elderly and congregate housing, hospices, and nursing homes. DSS helped to provide legal services, enabling seniors to obtain Medicare benefits, and provided health insurance counseling, information, and assistance.

Through the Long-Term Care Ombudsman Program, DSS provided advocates to nursing-home residents, helping clients solve day-to-day concerns, and protecting them from abuse, neglect, and exploitation. During the past year, over 5,225 facility visits were made, and 541 cases were examined.

As part of its elderly protective services, DSS safeguards people from abuse and neglect when they are over 60 and live in the community. In providing protective services, the department investigated 5,834 cases in the past year. Under the authority of the commissioner, DSS may be appointed to act as a conservator for indigent seniors over age 60 who are incapable of managing their own affairs. In the past year, DSS acted as a conservator for about 500 persons, and over 175 estates.

Through its Long-Term Care Insurance Partnership (an alliance with the Robert Wood Johnson Foundation and private insurance companies), DSS recruited counselors to advise consumers on how to plan for the cost of future long-term care. In the past year, the partnership responded to more than 3,140 requests for information, counseled more than 94 prospective consumers, and conducted six forums to educate the public.

Through ConnPACE (the Connecticut Pharmaceutical Assistance Contract to the Elderly Program), DSS helped more than 26,788 seniors and 3,252 disabled people obtain medicines.

Services in Communities

The Hospital Based Paternity Outreach Program, provides outreach, training, and support to hospital staff responsible for assisting with the establishment of paternity for children born out-of-wedlock. Paternity establishment has increased over 350 percent due to this program.

The Connecticut Women's Education and Legal Fund, in collaboration with DSS, provides child support information in Spanish to the general public, community-based organizations, and other interested groups and individuals. The goal of the program is to dispel myths surrounding the child support program.

DSS convened the Child Support Task Force to bring together interested agencies and community-based organizations and individuals to discuss issues directly related to the implementation and administration of the child support program in this state, specifically policies and procedures. This task force provides an opportunity to voice comments and concerns relative to child support issues directly to the child support director.

Through the Neighborhood Facilities Program, DSS provides grants for planning, site preparation, construction, renovation, and acquisition of facilities for child care centers, elderly centers, multi-purpose human resource centers, domestic violence programs, emergency shelters, homeless shelters, food distribution facilities, and accommodations for people with HIV. In the

past year, DSS obtained approval from the State Bonding Commission for 28 projects, at a combined value of \$9,036,499.

The Emergency Food Assistance Program distributes food from the United States Department of Agriculture to soup kitchens and shelters that serve people in need. When this priority is met, the remaining food goes to food pantries, which in turn get it to low-income individuals and families. With support from the Department of Administrative Services, DSS implemented the distribution of approximately 1,480,201 pounds of food, at a value of \$726,439.

The Supplemental Nutrition Assistance Program purchases high-protein foods for distribution to food pantries, soup kitchens, and shelters through a statewide network of 240 agencies. About 800,000 pounds of food were distributed last year, at a value of \$409,520.

In administering the federal Community Services Block Grant, DSS is required to funnel 90 percent of the federal funds received to local Community Action Agencies, which then leverage public and private grants to help low-income people through employment and training, Head Start, child care, neighborhood services, meals on wheels, and crisis intervention. There are 12 community action agencies serving Connecticut.

DSS administers a significant portion of the federal Social Services Block Grant (SSBG), with other portions going to other state agencies. The SSBG serves three critical functions. First, it allows DSS to meet critical social service needs that otherwise might not be met. Second, it allows the state to revise and set social service priorities as needs and issues change over time. Third, it forms the backbone of the social service network, by augmenting social programs and helping nonprofits leverage other private and public funds. Thus, DSS, other state agencies, and nonprofits are able to provide critically necessary services to Connecticut's low-income, disabled, and at-risk families, seniors, children, youth, and adults.

The SSBG supports programs within DSS, as well as programs operated by nonprofit entities, by providing 22 of the 29 allowable services. In the past year, the SSBG was very important to the efforts of welfare reform, particularly in supporting employment, job training, and child care for clients and the working poor. The SSBG also provided other services such as family support and preservation, protective services for adults, protective services for children, in-home support for seniors and people who are disabled, adult day care, substance abuse counseling, and special services for youth at risk.

The SSBG also helped 115 nonprofits leverage the private and public funding that they need to provide critical services to people in need. In all, DSS served more than 227,837 adults and 50,079 children through the SSBG. At the same time, other state agencies such as the Department of Children and Families and the Department of Mental Health and Addictive Services, were able to combine the SSBG with other programs to provide needed services.

Through the Connecticut Energy Assistance Program and the State Appropriated Fuel Assistance Program, DSS works with the community action agencies to ensure that TFA families, seniors, the disabled, refugees, and people living at-or-below 200 percent of the poverty level are able to obtain deliverable heating fuel, including oil, coal, wood, and propane. They also provide assistance with utility and heating bills. In the past year, DSS was able to help more than 56,000 households through these programs. In addition, DSS administered federal funds for a weatherization assistance program that served about 650 households with energy-efficient conservation measures.

In its Teenage Pregnancy Prevention initiative, DSS continued to target eight urban areas: Hartford, Bridgeport, New Haven, New Britain, New London, Waterbury, Norwalk, and Stamford, as well as rural northeastern Connecticut.

Housing Services

Through various homeless programs, DSS supported 46 emergency shelters with a total of 1,318 beds, serving more than 15,917 adults and children. DSS also supported three-day shelters and nine programs that provided advocacy, housing, and health services. Through its Transitional Living Program, DSS helped families and adults move from shelters into independent living. Through the community action agencies, DSS provided other critical support services to help people escape from homelessness.

DSS also helped provide shelter and support services to more than 2,426 adults and children who were the victims of domestic abuse. Services included emergency shelter, security deposit assistance, counseling, information and referral, and a 24-hour telephone helpline.

Under its Home Share Program, DSS helped approximately 410 participants find housing by matching them with other clients who were willing to share in the cost of maintaining a home.

Through the Eviction Prevention Program and the related Security Deposit Program, DSS offered mediation, rent support, and security deposits so that more than 2,421 families could obtain and remain in permanent housing.

Under its Rental Assistance Program, DSS provided rental subsidies to 2,151 families and adults living in privately owned housing. It also provided rental subsidies under the Time Limited Rental Assistance Program to 877 families. In administering the federal Section 8 Program, DSS provided rental assistance so that 2,820 families and adults could move into and remain in safe and sanitary housing.

Through the AIDS Residence Program, DSS continued to provide housing and support services to 631 adults and children with AIDS.

The Elderly Services Division also manages three homeshare programs where elderly homeowners are matched with people willing to share chores or the cost of maintaining a home. Approximately 93 elderly homeowners were matched with others seeking shared housing last year. The Adult Family Living Program matched seven families willing to provide care in their homes for elderly individuals who can no longer live alone.

Services in Collaboration with Other Agencies

DSS is a key participant in the joint executive/legislative branch Long Term Care Planning Committee. The committee developed a preliminary plan in 1999 and will update it in 2001; a series of forums with providers and advocates conducted in 2000 will ensure public input. The committee will develop a plan to ensure the availability of home care services for persons whose income exceeds the current limits. DSS is also developing two new long term care initiatives: assisted living and Connecticut Lifelong Care, which will expand long term care choices and reduce incentives for institutionalization of older persons.

A federal grant was approved to develop a Child Support, Child Care, and Head Start Collaboration Program designed to educate child care providers, Head Start staff, and their clients on child support services and related issues. Programs are in place in New Haven, Hartford, and Litchfield. In addition, a component of this program requires each site to develop a plan to include fathers in their activities and to provide a father-friendly environment in child care settings. Work-related education and training, as well as parenting skills, are also included.

DSS works closely with the Department of Labor (DOL) to ensure that all employers report information regarding new hires. This data identifies noncustodial parents who have children needing child support and ensures that child support orders are established and enforced.

The agency has also worked closely with DOL and the regional Workforce Development Boards on refining the *Jobs First* Employment Services system. Following implementation of the new system, which links all employable Temporary Family Assistance recipients to services in the Connecticut Works system, a design team with representation from DSS, DOL, and the boards was established. The design team worked to improve systems in order to provide better customer service, improve interagency communication, and develop a case management model that assures TFA recipients receive the employment services they need to move into employment prior to the expiration of their 21-month time limit.

A federal grant was approved to establish a program providing access and visitation services to never-married couples. It is being tested in the Hartford Superior Court, where Judicial Branch staff is present on the same day DSS brings noncustodial parents before the Magistrate Court to establish support orders. When noncustodial parents indicate they are not able to visit with their child(ren), they are referred to a representative from Family Services to determine if an agreement may be made between the child's mother and father.

Working with the Department of Labor, the Department of Transportation, and the Department of Economic and Community Development, DSS supports programs that expand transportation services so that *Jobs First* clients can get to and from work more easily.

DSS continues to collaborate with the Department of Public Health to support the registry that records establishment of paternity for out-of-wedlock children, and to support the licensing of child care centers, group day care homes, and family day care homes.

The department's Child Care Team has been an active partner in and contributor to several family support and early childhood state initiatives, including the Governor's Head Start Col-

laboration Project, the Birth-to-Three Interagency Council, the State Family Linkage Initiative, the Healthy Child Care Connecticut Project, the Healthy Start-Healthy Families Integration Project, and the Child Care-Child Support Head Start Collaboration Project. The team continues to work closely with the Department of Revenue Services (DRS) for a smooth transition of the Child Care Tax Credit Program, from DSS to DRS.

DSS staff is co-located with staff from the Department of Mental Health and Addictive Services to provide assessment, treatment, and case management services to SAGA clients who abuse controlled substances and/or have mental illness.

Under a federal grant, and in collaboration with the University of Connecticut, the Bureau of Rehabilitation Services took steps to enhance consumer choice in their vocational rehabilitation programs and to increase the timeliness of delivery of goods and services. These steps included obtaining direct purchase authority from the Department of Administrative Services for all rehabilitation assistive technology and job placement-related equipment, and, in the Norwich region, testing the use of credit cards to expedite the purchase of goods identified in consumers' employment plans, increasing consumer choice.

Improvements/Achievements 1998-99

Governor John G. Rowland opened Connecticut's groundbreaking program to bring free or affordable health care coverage to tens of thousands of uninsured children and teenagers. Cited as one of the top four children's health insurance programs in the nation by the Children's Defense Fund, *HUSKY* is comprised of the traditional Medicaid program for children (*HUSKY A*); new services for children in higher-income families (*HUSKY B*); and services for children with special needs in physical and behavioral health care (*HUSKY PLUS*). A toll-free information/application number (1-877-CT HUSKY) and website (www.huskyhealth.com) provide user-friendly contact points for parents.

Connecticut's program is distinguished by an especially comprehensive benefits package, a comparatively high-income limit for subsidized insurance, and group rate buy-in for families over the subsidy income limit. During SFY 1998-99, more than 17,000 additional Connecticut children were determined eligible for health care coverage under *HUSKY*.

Through its Eligibility Management System (EMS), DSS is able to consider and act upon changing eligibility standards and notice requirements that affect the adults and children served. As eligibility standards and requirements evolve, the information system, which is critical to the success and delivery of social services, is modified and improved. Important enhancements to EMS in the past year included: *HUSKY* program changes, Personal Responsibility and Work Opportunity Reconciliation Act (PRWORA) legislative changes to broaden eligibility rules for family medical assistance, support of the new TFA Diversion Assistance Program, connectivity between EMS and the digital imaging system, and overpayment processing improvements.

In the Child Support Enforcement system area, modifications for PRWORA requirements continued. The interface with the Federal Child Support Case Registry was established and all of Connecticut's cases receiving support under Title IV-D were registered. Software modifications for processing interstate cases were upgraded.

Completion of the local area network/wide area network infrastructure in all DSS offices has enabled development of new client-server systems, including automated support for the agency's programs. Above all, Management Information Systems has made its highest priority the remediation and extensive testing of all agency systems for Year 2000 compliance and the support of agency business continuity planning to ensure there will be no disruption in services as the millennium approaches.

During the past year, DSS continued the operation of its statewide biometric client identification (digital imaging). This use of cutting-edge technology has continued to ensure the very highest level of fraud deterrence available in the arsenal of welfare reform strategies, and has assured the restoration of the public's confidence in the integrity of the welfare system. Connecticut was one of the early pioneers to implement this advanced technology.

DSS was the first to have a fully operational statewide system and the first to pioneer cross-state matching with the neighboring states of New York and New Jersey. In addition, this is the first state to achieve integration of a biometric identification system with the Eligibility Management System. Other states continue to visit this department to examine the technology first

hand. The DSS digital imaging system continues to be the subject of articles in both United States and European magazines. The digital imaging web page, first established in 1996, has received recognition as one of the most informative biometric technology sites in the world today. To date, 190,000 clients have been enrolled into the system.

The Elderly Services Division issued a general directory of housing available to older persons. The directory includes elderly housing, assisted living, residential care homes, retirement communities, and nursing homes. In all, over 1,000 facilities are listed. A specific directory of elderly rental facilities lists approximately 500 rental facilities by region of the state. Costs, apartment configuration, and services available are included in this directory.

The second VOICES forum for nursing home residents brought together residents of long-term care facilities, legislative and administrative policy leaders, and decision-makers from private industries serving nursing home residents. The key issue highlighted concerned staffing—the need for more staff and increased training for staff.

The department's CHOICES (Connecticut Health insurance, Outreach, Information and referral, Counseling, and Eligibility Screening) program received a Beneficiary Service Honor Award from the Health Care Financing Administration. The award was in recognition of extraordinary health insurance counseling program development and operation, inspiring leadership, and dedicated commitment to ensuring that Connecticut's Medicare beneficiaries are well informed and well served.

Under the State Funded Food Stamps Program, DSS served approximately 1,200 non-citizen households which would be deprived of eligibility for federally funded food stamps, including children, seniors, and disabled people. DSS also received a grant from the federal government to provide elderly refugees with services to promote citizenship.

DSS has now enrolled the entire TFA population (adults and children) and children of the working poor (living at or below 185% of the poverty level) into managed care. As a result, Connecticut now operates one of the largest pre-paid health plan networks in the nation (proportionate to population). This network has successfully mainstreamed clients, allowing them to obtain the same services available to the general population.

The combination of a generous package of benefits and a 21-month time limit continues to be a strong incentive for clients to move from welfare into employment. At the end of April 1999, 48.3 percent of the Temporary Family Assistance clients subject to the time limit were working, and the number of families receiving assistance had dropped to 32,063.

The Worksteps Program has two major components: Safety Net services, and individual performance contracts (IPCs). Safety Net services are provided to those families who have exhausted their 21-months for TFA, have an income below the payment standard, and do not qualify for an extension. Help with meeting basic needs is available to these families, along with case management and service coordination. IPCs are provided to TFA recipients who are at risk of losing cash assistance due to their failure to make a good faith effort to find and maintain employment. As of April 1999, there were 1,792 families referred for IPCs and there were 1,333 referrals for Safety Net services.

Child care assistance for working families and families transitioning off public assistance increased by 35 percent in the past year. In support of welfare reform, \$146 million was spent on child care in the past year. As the result of the efficient use of child care payments, subsidies, and certificates, DSS served an additional 3,000 families over the year before. Enhancements were made to improve the payments and quality components for new and existing child care providers. A total of 5,600 children (ages 3, 4, and 5) were served by participation in Connecticut's School Readiness Initiative. The cornerstone of the initiative is funding to 16 priority school districts, and competitive grants to 20 towns with severe needs schools, to create, expand, and enhance pre-school programs. Other components of School Readiness include extensive and widespread training for child care providers, as well as expansion of capital funding for child care facilities.

Total child support collections for SFY 99 are estimated at \$179 million, an increase of \$7.3 million over SFY 98. Some \$127.4 million was collected for families who do not receive assistance, a 36.5 percent increase over collections of \$93.3 million last year. In addition, \$17.8 million of current support collected was passed through to families receiving assistance. More families who receive child support are leaving public assistance roles and entering the work force. Information received through new-hire reporting allowed the placement or transfer of more than 8,900 income withholdings in SFY 99.

As has been the case for the past six years, DSS once again ranked as one of the top disability determination units in the nation based on productivity and effectiveness. With federal approval to implement an acquired brain injury home and community-based services waiver, DSS is now able to support community services for up to 500 people with brain injuries. This program began in November 1998.

In the past year, the department implemented the Governor's Wage, Benefit, and Staffing Enhancement Program which increased total nursing facility rates by \$75 million in order to improve the quality and quantity of care given to Connecticut's nursing facility residents.

Reducing Waste

Through tracking, monitoring, and investigating overbilling, the Department of Social Services Quality Assurance Division identified for recovery over \$17 million from vendors and providers who had overbilled for services rendered to clients. DSS recovered and saved more than \$85 million from third parties (including insurance companies and third-party tortfeasors) who were liable for injuries and illnesses that affected clients. By investigating approximately 6,700 cases of fraud and overpayment, the agency recovered and saved almost \$3.6 million. DSS also recovered more than \$9 million through liens and mortgages on real estate, estate claims, assigned assets, and Title XIX reimbursements. Elsewhere, the department prevented approximately \$10 million in Medicaid, Food Stamps, and TFA fraud through the use of its pre-eligibility Fraud Early Detection Program. Finally, working with the Bureau of Collection Services, DSS recovered additional funds through estates and lawsuits.

To improve its healthcare fraud prevention efforts, the DSS has strengthened its controls over the Medicaid provider enrollment process. This includes performing on-line computer verification of enrollee information and on-site reviews of selected enrollee's place of business.

As required by state statute and by the consolidation of child care funding at the federal level, DSS is developing a single, uniform set of regulations for the child care subsidy program. The new regulations will implement criminal background and child abuse and neglect screening for certain unregulated providers. Child abuse and criminal background check has been piloted in one of the local offices.

In accordance with federal regulations, DSS is reviewing current child care rates through a survey of child care providers. Survey results will be used to evaluate the adequacy of the department's payment rate schedule. Also, DSS will continue to support the renovation and construction of new child care facilities through an agreement with the Connecticut Health and Education Facilities Authority and the state's banking community.

The administrative hearing process provides aggrieved clients with a hearing before an impartial hearing officer. The client is assured of an accurate decision, and in those cases where the client prevails, the decisions also serve as part of the agency's self-correction process.

Strategic Planning

The Department of Social Services is currently involved in a comprehensive review of all program and administrative areas, which will form the basis for the development of the first agency-wide business plan during Commissioner Wilson-Coker's administration. The department's strategic planning process will involve a cross-section of agency staff, consumers, and community service providers and subject matter experts external to the department. It will include the definition of measurable outcomes leading to the achievement of specific goals and objectives identified by the commissioner and her management team. The strategic planning process will culminate with the development and distribution of annual objectives, as well as the articulation of long-range programmatic and fiscal goals.

Specific goals for the next fiscal year include implementing a Fatherhood Initiative to promote positive interaction of fathers with their children, ensuring continuity of services through the challenges of Y2K, and developing comprehensive plans to both coordinate services to the elderly and people with disabilities, and better integrate child care with children's health services.

Information Reported as Required by State Statute

The Department of Social Services Affirmative Action Plan, submitted on March 31, 1999, was approved and granted continued annual filing status by the Connecticut Commission on Human Right and Opportunities. The agency continues in its strong commitment to the principles, policies, and practices that promote equal employment opportunity in programs, services, and contracts, including affirmative action.

In the past year, DSS continued to monitor and improve its practices in employment and contracting, with special consideration paid to its Affirmative Action Plan goals. At the close of the most recent affirmative action reporting period (November 30, 1998), 31.6 percent of employees were minorities, 68 percent were women, and 1.3 percent were self-proclaimed as being disabled. During the last plan year, the agency hired 154 employees, of which 68 (44.2 percent) were minorities and 116 (75.3 percent) were women. Of the 661 contracts awarded as of June 30, 1998, 5.0 percent went directly or indirectly to minority or women business enterprises and 20.3 percent went to small business enterprises.

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Soldiers', Sailors' and Marines' Fund

At a Glance

EDWARD D. BARRY, *Administrator*
Gerald F. Dierman, *Deputy Administrator,*
Assistant Administrator

Established - 1919

Statutory authority - CGS Sections
27-138 - 27-140

Central office - 101 South Street,
West Hartford, CT 06110

Average number of
full-time employees - 16

Recurring operating expenses - \$1,034,748

Capital outlay - 0

Organizational structure - Administrator 1,
Assistant Administrator 1, Fiscal Admin-
istrative Officer 1, Veterans Aid Investiga-
tor 5, Administrative Assistant 1, Secretary
1 3, Office Assistant 3, Financial Clerk 1

Mission

The Soldiers', Sailors' and Marines' Fund, established by the General Assembly in 1919, was intended to provide temporary assistance to needy World War I veterans, their dependents and survivors. Veterans and dependents of World War II, the Korean War, Vietnam, Lebanon, Grenada, Panama and the Persian Gulf were subsequently granted eligibility to receive assistance from the Fund. Established as a Trust Fund, the Soldiers', Sailors' and Marines' Fund was augmented from time to time by 1/2 cent, per pack, tax on cigarettes; however, the Fund has been self-sustaining since 1960, and the purpose of the Fund remains unchanged. The authorized capital of the Fund is \$35,000,000 and the present principal of the Fund is approximately \$57,627,585.

On June 30, 1999, the Soldiers', Sailors' and Marines' Fund completed its 80th year providing assistance to needy Connecticut war veterans and their dependents. Total award payments this year amounted to \$1,659,552.00. This is slightly less than in some previous years and is reflective of an improved economy.

Statutory Responsibility

Sections 27-138 through 27-140 of the Connecticut General Statutes delineate the responsibilities, and, at the same time, define the general terms and conditions of eligibility of potential beneficiaries. Section 27-138, as amended, established the Treasurer of the State of Connecticut as the sole Trustee of the Fund. Said Treasurer is charged with the responsibility for investing and reinvesting the Fund's principal as may be necessary, in such securities as authorized, to provide the income necessary to carry out the purpose of the Fund. Administration of the Fund and the responsibility for determining eligibility of applicants, expenditures, accounting and related administrative matters, are vested in the American Legion, Department of Connecticut.

Public Service

It is the purpose of the Fund to provide temporary financial assistance so as to meet, or help meet, the health and maintenance needs of eligible applicants. Specifically, monies are provided for the procurement of food, wearing apparel, shelter, fuel, utilities, hospital care, certain other medical expenses and burial expenses of those persons demonstrating need and otherwise qualifying for assistance.

Improvements/Achievements 1998-99

The earnings of the Trust fund are the only funds available to carry out the stated purposes of Section 27-140, and this necessarily imposes limitations as to the sum and scope of aid. Approved aid is in set amounts and granted over temporary periods, within approved standards, as is reasonably necessary to permit the applicant, the local community, or state or federal agencies to provide or develop resources necessary to address the full extent of the need.

Policy, procedures and standards of eligibility are adopted by the State Fund Commission and the Trustee of the Fund, and are set forth in regulations. These regulations are provided to every town and city clerk and are also provided to local Fund Representatives throughout the state. Applications for assistance are accepted by the State Fund Representative in the town where the applicant resides.

Strategic Planning

The economy recovery has spurred economic development and has increased employment levels in many areas to very acceptable levels. However, recovery has not reached everyone in the state. Pockets of unacceptable employment and those living on a substance level continue.

Many of our applications come from Vietnam war veterans. However, this year has seen an increase in applications from Persian Gulf veterans.

Information Reported As Required By Statute

Section 27-140 of the General Statutes requires that quarterly reports of activities of the Soldiers', Sailors' and Marines' Fund, including an accounting of the Fund's disbursements, be submitted to the State Treasurer. Of the \$1,659,552 awarded to needy veterans, \$399,185 was provided for food, clothing and shelter, to those applicants who lost all or most of their income. Payments for inpatient hospital care, emergency room, and certain other medical expenses were \$569,680. Emergent authorizations for fuel, utilities, home health aide services, medications, artificial prostheses, hearing aids, eyeglasses, and other care amounted to \$585,421. Burial expenses continued to be high mainly due to the aging World War II veteran population, and amounted to \$105,266. In addition, \$225,490 was provided to the Department of Veterans Affairs for the purpose of providing headstones and other burial expenses.

In addition to the financial assistance provided, counseling, referrals and guidance was provided to a large number of veterans and their dependents, relative to the development of other and more permanent sources such as: Social Security Benefits; Veterans Administration Compensation and pension; Aid to Dependent Children; Women, Infants and Children; Title XIX; Workers Compensation; Connecticut Assigned Claims, and other potential resources of income or assistance. When appropriate, referrals for participation in ConnPACE prescription program and Husky Insurance for children were made.

The administration of the Fund has an ongoing information program wherein members of the administration conduct seminars and informational meetings in conjunction with veteran counseling programs, local and state agencies, programs organized by various veteran organizations, hospital administrators and labor unions.

Branch offices are maintained in the large cities: Hartford, Bridgeport, New Haven, Norwich, and Waterbury. The Bridgeport representative services the City of Stamford, one day a week. Each office is staffed by a Veterans' Aid Investigator and three have clerical assistance. The remaining cities and towns are serviced by over 150 American Legion volunteer Fund Representatives who dedicate their time to assist the needy veterans and their dependents in completing applications and providing counseling services.

The Soldiers', Sailors' and Marines' Fund is committed to the principle of Affirmative Action. The Administrator and Affirmative Action Officer have devoted a considerable amount of time in formulating and ultimately gaining approval of an agency plan as required by the regulations. It is the policy of the Soldiers', Sailors' and Marines' Fund to insure that all qualified current and prospective employees be guaranteed an equal opportunity in all matters of employment, regardless of race, religious creed, sex, age, national origin, ancestry, mental retardation or mental disorder, physical disability, blindness, marital status, criminal record, sexual orientation, or political beliefs. In addition, no person shall, on the grounds of race, color, age, sex, or national origin be excluded from participating in, be denied the benefits of, or be otherwise discriminated against under any program. The agency has a designated Affirmative Action

Officer, and administrators, to promote and disseminate to all employees and other entities the agency's commitment in implementing the State Code of Fair Employment Practices and all the provisions of the General Statutes referring to Affirmative Action.

Division of Special Revenue

At a Glance

THOMAS ROTUNDA,
Executive Director
Daniel Marchitello,
Deputy Executive Director
Established - 1971
Statutory authority - CGS Chapters 226, 226b, 229a, and Charitable Gaming activities authorized under Chapter 98.
Central office - 555 Russell Road, Newington, CT 06111
Average number of full-time employees - 200 (authorized)
*Recurring operating expenses - \$9,069,649**
*Capitol outlay - \$169,913**
Organizational structure - Office of the Executive Director, Administration Unit, Gambling Regulation Unit, Integrity Assurance and Technical Services Unit, Planning and Research Unit, Security Unit.
**Net after reimbursement*

Mission

The mission of the Division of Special Revenue is to ensure the highest degree of integrity in the conduct of legalized gambling within the state and the operation and management of all games in a manner that is honest and fair to the betting public, by administering the gaming laws of the State of Connecticut and monitoring compliance with the tribal-state compacts governing the conduct of Native American gaming in an efficient and courteous manner.

Statutory Responsibility

The 1998-99 fiscal year was the 20th year in which the Gaming Policy Board and Division of Special Revenue have regulated legalized gaming activities in Connecticut pursuant to the provisions of Chapters 226, 226b, 229a and Charitable Gaming activities authorized under Chapter 98 of the Connecticut General Statutes. It was also the 19th year in which the Board and Division have operated, for administrative purposes only, under the Department of Revenue Services.

Gaming Policy Board

Members of the Gaming Policy Board during the year were: Nelson C.L. Brown of Glastonbury, Chairman, Gilbert Lebovitz of Rocky Hill, Daniel Marchitello of Cheshire until January 15, 1999 when he was appointed deputy executive director and William Farrell of New Haven. George F. Wandrak, acting executive director, served as a member of the Board ex-officio until January 15, 1999 when he assumed his new position of chief executive officer and president of the Connecticut Lottery Corporation. On that same date, Thomas Rotunda, Jr. was appointed executive director of the Division of Special Revenue. Among actions taken, the board approved; requested revisions to the performance calendar dates for pari-mutuel facilities; requested revisions to post times and wagering commencement for pari-mutuel facilities; requested changes of bet types and price amounts for pari-mutuel facilities; approved the Division of Special Revenue's lottery regulations; and approved the permanent appointment of two unit chiefs who were previously working in an acting capacity.

Affirmative Action

The Division of Special Revenue, operating under a plan approved by the Commission on Human Rights and Opportunities, is an Affirmative Action/Equal Opportunity Employer. The Division did not knowingly do business with any bidder, contractor, sub-contractor, supplier of materials, or licensee who discriminates against members of any class protected under Connecticut General Statutes Sec. 4-114(a).

Public Service

The Division's service mandate extends to both the gaming public and the individuals and organizations that are licensed to conduct gaming or sell lottery products. The public's confidence in the integrity of gaming has a direct impact upon the ability of any licensed organization or individual to raise revenue. Through its regulatory vigilance, the Division protects the integrity of all legalized gaming in the state and performs its primary service to patrons and licensees as well.

Improvements/Achievements 1998-99

Awards and Recognition

The governor's service award was bestowed upon James B. Schmitt, a liaison officer in the charitable games section.

An employee of the year award commenced this year and Ferdinand Rios, maintainer in the administration unit, was the recipient of the award.

Special Events

In September, the Division conducted a seminar with the Connecticut State Police entitled, "Partners in Integrity" to foster coordination and cooperation between the agencies on licensing issues.

Improvements in the Division's use of information technology have included:

- Upgraded a majority of the Division's personal computers with newer, more powerful computers. Users are now able to do their job more efficiently by utilizing more sophisticated applications. In addition, the new PCs are part of the process to bring the Division's computer system into Y2K compliance.
- Continued to improve and update the Division's website. Additions to the website included links to sites of other regulatory bodies and to sites of licensees; information on problem gambling; charitable games' forms; frequently asked questions; and job announcements.
- Created a formal disaster recovery plan for the Division.

Improvements to the use of office and storage space:

- Coordinated upgrade of Division's security system and automated the security log system.
- Secured a new warehouse facility and completed relocation of all Division records from the Connecticut Lottery Corporation.
- Study feasibility of repaving and redesigning agency parking lot.
- Determine the feasibility of adding office and warehouse space to the Division's main facility in order to minimize the Division's long-term leasing requirements.

Activities in anticipation of changes to the state's gaming environment included:

- The development of operating policies and procedures to define a regulatory role for the Division with regard to the Lottery.
- Conducted a study to determine the requirements of the Division in the event a third Native American casino is authorized.

Efforts to improve efficiency and reduce costs included:

- Installation of a hot back-up site for the Lottery online systems at Division headquarters.
- Completing the upgrading of the Division's budget and payroll systems so that each is Y2K compliant.
- The Division is participating with the Foxwoods and Mohegan Sun casinos and the Connecticut State Police in a project to reduce the size (number of pages) of all casino employee applications. Such project began in June of 1999 and shall be completed in August 1999.
- Developed a new internal accounting and budget system for the Division.
- Upgraded its computer network and trained its employees in the new technologies.
- Increased the cap on the number of samples authorized for greyhound urine testing as UCONN can test up to 20,000 samples per year for the same cost as the Division's previous statutory cap of 16,000 samples per year.
- Coverage of field operations was improved resulting in more efficient scheduling and a reduction in overtime hours. More flexibility was obtained through cross training existing employees.
- A review of information processing resulted in reducing the retention of redundant information.

Major efforts and associated cost savings for the year have included:

- The Division has maintained a consistent and coordinated effort to maintain an operable, efficient computer network; made efforts to upgrade technology to maintain efficiency and upgraded staff skills through training programs.

Strategic Planning

Critical issues were identified and prioritized by executive management, who selected those initiatives that would best serve to support the agency's mission and the foreseeable challenges in the future. The initiatives are presented along with the operating goals that they are intended to meet.

Increase revenues and transfers to the general fund:

- The Division no longer is a revenue-producing agency. Since the sale of the OTB system and establishment of the Connecticut Lottery Corporation, the Division serves purely a regulatory role.

Efforts to improve regulatory vigilance will include:

- Transition to electronic data transfer. Begin the inquiry into customized P.C. reports specific to Division needs. Review the issues related to the daily pari-mutuel tote system tapes.
- Attempt to secure adequate office space for the Division field staff at facilities and upgrade computers in use at the casinos.
- During the next fiscal year, the charitable games section is expected to link headquarters operations with those of the field staff through an on-line system, which will expedite the registration and permit process for the public.
- To implement regulations regarding random drug testing procedures for jai alai players.
- To develop a certification program and provide appropriate training for employees relating to the Division judges' roles in the greyhound racetrack and jai alai fronton environments.
- A relicensing of lottery retailers took place during this fiscal year and will continue to be updated annually.

Efforts to manage change effectively will include:

- Requirements which may be developed to insure the integrity of gaming operations.
- Monitor developments in other jurisdictions relative to technological change and changes to the gaming landscape.
- The Division will continue to maintain an operable, efficient computer network through

- upgrading technology and providing staff training programs.
- Ensuring Division compliance with Y2K requirements.

Efforts to achieve cost savings, cost control and operating efficiencies through expanded use of information technology will include:

- Efforts to implement electronic transfer and storage of reports currently printed on a daily basis has commenced. Savings to storage space and automated reporting will be experienced.
- Attempt to establish electronic transfer of data to the casino staff thereby eliminating printed reports.
- Implement and develop improvements to the Division's new accounting and budget system.
- Automate charitable games accounting to organize data into a central location to streamline operations, improve our information access, reporting capabilities, increase productivity, and improve customer service.
- Coordinate automation of pari-mutuel accounting system to eliminate hardcopy reports thereby reducing storage costs.
- Creating a paperless licensing system for casino personnel.

Efforts to maintain responsiveness to the expectations of both patrons and licensees; incorporate this concern in decisions and policies for the regulation of legalized gambling in the state will include:

- Review of casino staff activities to determine a new direction and emphasis of oversight required by the compact.
- Establishing closer links to other gambling regulatory bodies (state, federal, international) to effectuate better communication and sharing of information.
- Establishing forums for discussions of issues with licenses.
- The continuation of a project to review, revise and consolidate all agency regulations.

Information Required by State Statute

(See appendix for Summary Information for the Division of Special Revenue Fiscal Year 1998-1999.)



Connecticut State Employees' Retirement Commission

At a Glance

PETER R. BLUM, Chairman
Nancy Wyman, Secretary Ex Officio
Established - 1939

Statutory authority - CGS Chapters
565, 66, 104, 113, 774, 872, 886,
pension agreement

Central office - 55 Elm Street,
Hartford, CT 06106

Average number of full-time employees - 87

Average number of part-time employees - 1

Mission

Administers the State Employees Retirement System; the Alternate Retirement Program for eligible employees of the Board of Higher Education; the Connecticut Municipal Employees Retirement Systems A and B; the State's Attorneys Retirement System; Public Defenders Retirement System; Special Statutory Retirement Benefits; the Judges and Compensation Commissioners Retirement System; and the Connecticut Probate Judges and Employees Retirement System.

Statutory Responsibility

The Connecticut State Employees Retirement Commission administers the State Employees Retirement System; the Alternate Retirement Program for eligible employees of the Board of Higher Education; the Connecticut Municipal Employees Retirement Systems A and B; the State's Attorneys Retirement System; Public Defenders Retirement System; Special Statutory Retirement Benefits; the Judges and Compensation Commissioners Retirement System; and the Connecticut Probate Judges and Employees Retirement System.

Police and Firemen Survivors Benefit Fund

This fund provides income for the dependents of deceased policemen and firemen of municipalities which elect to join. Six municipalities were participating as of June 30, 1999. Ninety dependents of deceased employees were receiving survivor benefits.

Federal Old-Age, Survivors, Disability and Health Insurance

The Retirement Commission, by statute, is the agent for the State in all matters relating to the Social Security Agreement executed under Section 218 of the Social Security Act. In that capacity, the Commission extended Social Security coverage to additional employees of several political subdivisions of the State.

Connecticut Municipal Employees Retirement System

The Connecticut Municipal Employees Retirement Act provides for two retirement plans with separate funds for those political subdivisions which elect to participate. Fund "A" applies to the benefits established in 1945 as amended to date. There were no municipalities participating in Fund "A" as of June 30, 1999. Fund "B" applies to the benefits established in 1947 as amended to date. There were municipalities participating in Fund "B" as of June 30, 1999.

Active member was 7,803 with 4,370 retirees and optionees receiving benefits.

These systems are supported solely by the contributions of the municipalities and the employees, with no contributions by the State. The rates of contribution by the municipalities are adjusted periodically in such a way that the assets of the funds, together with the present value of future contributions for which the municipalities are obligated, are kept approximately equal to the liabilities in order to maintain the funding on an actuarial basis.

Public Act 83-383 provides a continuing cost-of-living adjustment for municipal employee retirees, payable commencing each July first, if retired for disability, otherwise on the first of July following attainment of age 65, at a variable rate, not to exceed 5%, based on the assets and liabilities of the fund, provided no cost-of-living adjustment is less than 3%.

Connecticut Probate Judges and Employees Retirement System

The Connecticut Probate Judges and Employees Retirement System provides income for retired probate court members. As of June 30, 1999 this system had 370 active members, with 197 retirees and 20 widows(ers) receiving benefits.

State's Attorneys Retirement System

Under the terms of Sections 51-49, 51-278, 51-287, and 51-288 of the Connecticut General Statutes, the State's Attorneys Retirement System provides for income to certain retired state's attorneys and widows(ers) of state's attorneys. As of June 30, 1999 this system had five active members, with 13 retirees and seven widows(ers) receiving benefits.

Pensions and Retirement – Other Statutory

Certain statutes provide retirement income for former governors and widows(ers) of former governors, retired county employees, retired law librarians and provisions for certain individuals as stipulated in special acts passed by the General Assembly.

Judges, Family Support Magistrates, and Compensation Commissioners Retirement System

Public Act 81-46, effective October 1, 1982, created the Judges and Compensation Commissioners Retirement System to provide retirement income for judges, compensation commissioners and their widows(ers). As of June 30, 1999 this system had 205 active members with 111 retired judges, eight retired compensation commissioners, two family support magistrates, 80 widows(ers) of judges and one widow of a compensation commissioner receiving benefits.

Public Defenders Retirement System

Public Act 84-421, effective July 1, 1985, created the Public Defenders Retirement System to provide retirement income for certain retired public defenders and widows(ers) of public defenders. As of June 30, 1999 this system had one active member with four retirees and one widow(er) receiving benefits.

Improvements/Achievements 1998-99

During the year the Commission met and ruled on 1047 retirement applications and additional matters relating to the administration of the retirement systems. In addition, the Medical Examining Board considered 334 disability retirement applications; of this number 264 were approved.

Information Reported as Required by State Statute

State Employees Retirement System: The statement of operations of this system for the fiscal year ended June 30, 1999 is as follows:

	Year ended June 30, 1999
Assets at Cost – July 1, 1998	\$4,255,875,279.11

Receipts

Employee Contributions	\$38,897,332.72
Federal and Other Reimbursements	124,140,475.00
State Retirement Contribution Payments – General Fund	199,304,785.00
State Retirement Contribution Payments – Transportation Fund	28,419,000.00
Interest and Investment Income	222,864,613.80
Gain on Sale of Investments	19,434,210.66

Disbursements:

Refunds on Termination, or Death	\$2,884,281.80
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Retirement Allowances Paid	567,924,255.72
Interest Awarded	1,194,887.35
Actuarial Services	64,102.00
Fringe Benefit Transfers	36,302,474.94
Banking Service Charges	34,489.41
Retirement Commission Services	142,375.71
1997 Early Retirement Incentive Administration	20,361.80
Loss on Sale of Investments	18,083,970.04
Net Assets At Cost – June 30, 1999	\$4,262,284,497.52

The State is continuing to fund these retirement benefits under the funding plan established by the 1971 General Assembly, as modified by Public Act 83-533 and the 1988-1994 Pension Arbitration Award, and subsequent collective bargaining agreements with the State Employees Bargaining Agent Coalition.

Approximately 53,266 active and 1,339 inactive (vested) employees were members as of June 30, 1999.

Subsequent to certification by the Commission on December 1, 1997, based upon the actuary's recommendation, the General Assembly made the following appropriation:

General Fund Appropriation	\$199,304,785.00
Special Transportation Fund Appropriation	28,419,000.00
Recoveries from Other Funds	87,838,000.00
Appropriation Request for Fiscal Years Starting July 1, 1998	\$315,561,785.00

Membership: *The Connecticut State Employees Retirement Commission as of June 30, 1999 consisted of fifteen Commissioners: Peter R. Blum, Chairman; Robert Baus, Actuarial Trustee; Carmen E. Boudier, Employee Trustee; Stephen Caliendo, Management Trustee; Charles Casella, Employee Trustee; Robert D. Coffey, Management Trustee; Thomas P. Culley, Employee Trustee; David O. Elliott, Management Trustee; Michael Ferrucci, Jr., Employee Trustee; Edward C. Marth, Employee Trustee; Steven Perruccio, Employee Trustee; Claude Poulin, Actuarial Trustee; Richard D. Wilber, Management Trustee; Linda J. Yelmini, Management Trustee; vacant, Management Trustee.*

The operating agency for the Commission is the Retirement & Benefit Services Division of the Comptroller's Office – Steven Weinberger, Director.



Connecticut State Library

At a Glance

KENDALL F. WIGGIN, *State Librarian*
Established - 1854

Statutory authority - CGS Chap 188
Central office - 231 Capitol Avenue,
Hartford, CT 06106

Number of employees - 121

Recurring operating expenses - \$9,650,397

Organizational structure - Administrative Services: Automation, Operations, Fiscal Services, Personnel/Affirmative Action; Historical Services: Public records and State Archives, Museum of Connecticut History; Library Development: Consulting Services, Statewide Database, State Data Coordination; Information Services: Government Information Services, History and Genealogy, Law/Legislative Reference, Collection Management, Bibliographic Information Services, Library for the Blind and Physically Handicapped, Preservation Office, Library Automation; Commission on the Arts, attached to the Library for Administrative Purposes.

Mission

The mission of the State Library is to provide high quality library and information services to state government and the citizens of Connecticut; to work cooperatively with related agencies and constituent organizations in providing those services; to preserve and make accessible the records of Connecticut's history and heritage; to promote the development and growth of high quality information services on an equitable basis statewide; to provide leadership and cooperative opportunities to the library, educational and historical communities in order to enhance the value of their individual and collective service missions; and to develop and promote appropriate legislation and public policy in support of these efforts.



Statutory Responsibility

The State Library provides a variety of library, information, archival, public records, museum, and administrative services. The primary recipients of these services are the employees and officials of the three branches of state government, libraries and library organizations, town government officials, researchers, students, and the general public. These services are provided directly to individuals and institutions, via service desks, exhibitions, physical and electronic delivery systems (including the Internet and the World Wide Web), consulting services, grants, and administrative support functions. Benefits are accrued through improved access to information resources, local cost avoidance, resource sharing, and efficiencies gained through statewide networking and other coordinated services.

Public Service

The State Library continually strives to improve services. This is achieved through the efficient use of diminished resources, expanded use of computer technology, expanded access to electronic information resources, development of a statewide network and services, coordinated planning and program development with other agencies, and tightly focused collection policies. Gauges of service effectiveness are limited to quantitative measures of services/resources used and periodic program evaluations. Lack of staff resources limits the Library's ability to conduct needed longitudinal studies and rigorous customer satisfaction surveys.

Improvements/Achievements 1998-99

Major achievements and improvements during this year include the following:

Administrative Services

- Progress was made in the programmatic area of the upward mobility agenda with employee training offered in a number of different disciplines with special emphasis on Automation related training.
- The Automation Service unit of Administrative Services continues to enhance services provided to staff and patrons through the implementation of new hardware and software.
- The State Library Y2K efforts over the prior year leave the agency positioned to gain 100% compliance by third quarter CY1999.

Division of Information Services

- The three reference areas, Government Information, Law/Legislative Reference, and History and Genealogy answered 87,123 patron questions this year. Onsite patrons received answers to 52,903 questions, 30,316 questions were answered by telephone, 1,514 through correspondence, and 2,390 via email. Email inquiries again were the fastest growing area, this year increasing by 39%.
 - 87,123 information service questions were answered;
 - 74,004 items were added to the collection;
 - 35,437 items were added to the federal document depository collection;
 - 810 Interlibrary Loan requests were filled from the Division's collections;
 - 120 Interlibrary Loan requests were placed with other libraries for patrons;
 - 1,461 Items were loaned directly to patrons
- Hours open to the public were extended by 2 1/2 hours weekly in August, restoring part of the 8 hours weekly that were cut from 1991 to 1994. Restoration and extension of hours continues to be a frequent request of patrons.
- Outreach to other state agencies and to other patron groups was increased through staff providing more training for other state agency's staff, more workshops for librarians and others in the State Library's areas of expertise, and more cooperation and consultation with schools on student research projects.
- Additional electronic resources were made available to patrons, both at the library and through the online system, CONSULS, shared with the Connecticut State University.
- Public self-service photocopy facilities were upgraded, vastly improving patron satisfaction.
- The availability on the Internet of CONSULS, the online catalog, continued to attract users to the depth and breadth of resources at the library.
- The increasing shortage of space for collections, staff, and patron seating required continuous shifting projects in order to maintain excellent library service to patrons.
- The State Library website was upgraded through addition of a search engine, connection to databases for inquiries, and implementation of a new domain name, cslib.org.
- An estimated 483,000 patrons accessed the Library's 8 website projects, including the 1997 General Statutes of Connecticut, and those hosted for other state agencies such as the Attorney General and non-profit groups such as the League of Women Voters.
- The Library for the Blind and Physically Handicapped loaned 274,210 'talking books' to 10,463 individuals at their homes or in residence at 227 institutions around the state.
- The Connecticut Newspaper Project collated and prepared for microfilming 251,800 pages, primarily of the Norwich Bulletin. Over 178,300 pages were completed and the microfilm reels added to the State Library collection.

Raymond E. Baldwin Museum of Connecticut History

- The Museum of Connecticut History purchased more than 800 Connecticut historical objects, manuscripts and photographs for its permanent collections which concentrate on the state's political, industrial and military heritage. The most significant donation was the Kellerstadt Collection of Landers, Frery & Clark (New Britain) Household and Kitchen Goods, over 1,000 items dating from 1890 to 1950.
- The Museum inaugurated the transportable special event exhibit "Connecticut Invention; the First Century, 1790-1890" to showcase and spread the word about the Museum's early Connecticut patent information, trade catalogs and a wide variety of locally manufactured wares.
- The magnificent and historically vibrant Connecticut African-American Freedom Trail Quilts, donated to the state in 1998, debuted as a permanent exhibit in Memorial Hall as part of February's African-American History Month celebrations.

Division of Library Development

- The volume handled by the Connecticut (C-Car) delivery service continued to increase. Currently serving 230 libraries with an average of 560 stops per week and an average daily coverage of over ninety per cent. C-Car handled over 1.2 million books.
- The construction of a technology training center in Middletown opened in December 1998. Since the training center opened, 70 technology courses have been provided to library staff from across the state in FY1999.
- In addition to technology training, the Division of Library Development coordinated 32 workshops for Connecticut library staff on topics ranging from Customer Service, School/Library Partnerships, Effective Management, to reference.
- The Library Service Centers in Middletown and Willimantic loaned 93,017 items to school and public libraries in FY99.
- The Connecticut Library Network (CLN), a program of the Connecticut State Library, has completed implementation of a service that makes the collections of Connecticut libraries accessible over the web. Through this service citizens may locate and borrow the over 15 million books and other materials in Connecticut's libraries.
- The Connecticut Library Network began implementation of a telecommunications network among libraries in partnership with the Connecticut State University. Ten public libraries have been provided with high-speed access to the CLN database and to the resources available on the Internet.

Public Records Administration

- The Public Records Administrator remained active with state and local government agencies in monitoring statutory compliance to the various public records statutes and in overseeing vault construction.
- The Office of the Public Records Administrator issued a revised records management manual for state agencies within the executive department entitled "**Statutes, Policies and Procedures for Connecticut State Agencies,**" and a revised edition of the municipal records retention manual entitled "**Records Retention/Disposition Schedules: Connecticut Towns, Municipalities and Boards of Education.**" Both state agency and municipal retention schedules and disposal forms are available on the State Library webpage.
- The Office of the Public Records Administrator continues to oversee the legal destruction of state and municipal public records. This office processed a total of 1,236 disposal requests, which amounts to 17,619 cu. ft. of state government records.
- The State Records Center continued to have another productive year; 4,337 cubic feet of records were destroyed while 5,094 cubic feet of records were transferred to the State Records Center. The Records Center currently has space available for 13,303 cubic feet. The State Records Center is currently up-to-date on records destruction.

The Records Center has been contracting with a recycler, since January 1995, and is paid for paper. The Library is paid \$20.00 per ton for paper records. This money is added to the State General Fund. This year, a total of \$1,985.75 has been added to the General Fund. From January 1995 to the present, over \$7,985 has been added to the General Fund. As long as the demand for paper continues, the library will be successful in its destruction activities.

State Archives

- The State Archives participated in a reboxing/bar coding/cataloguing project of State Archival records at the Willimantic Library Service Center and 80 Washington Street in Hartford. This is the largest project of its kind in the history of the State Archives.
- The State Archives coordinated the work of two advisory committees in organizing archival/records management workshops under a grant to the State Library from the National Historical Publications and Records Commission on behalf of the Connecticut State Historical Records Advisory Board.
- The State Archives produced the following work products and had them posted on the CSL web page: **Time-Line of Important Dates in the History of Connecticut's Public Records and State Archives Programs** (1999); **Finding Aid to the General Assembly Papers, 1821-1870** (1998); **Finding Aid to the Rejected Bills, 1808-1870** (1999). A total of 183 accessions were logged in for a total of 116.9 cubic feet. Noteworthy are the J. Henry Roraback Papers, 1892-1937.

Reducing Waste

The overall emphasis of the Library's service program has been of the provision of quality service through the most efficient deployment possible of greatly reduced staff and material resources. This efficiency has been enhanced by the utilization of computers and telecommunications networks to increase access to electronic and networked information resources. These capabilities were expanded to the Library's outlying facilities. The Library also continues to stress employee participation in the decision making process. Both of these efforts focus on the wise allocation of limited resources by using time saving and work prioritization processes to most effectively utilize Library staff.

The Division of Library Development conducted an extensive study of the Connecticut operation in FY 1999. Connecticut is a statewide delivery service for library materials serving all of Connecticut's public and academic libraries. Handling over one million items each year, it is the backbone of resource sharing among Connecticut's public and academic libraries. The final recommendation of the study was that the service be out-sourced for efficiency and cost savings. An RFI is being issued to verify the cost estimates in the study. Connecticut serves 230 libraries making 560 stops per week.

Strategic Planning

The State Library's Strategic Plan was completed in 1990. This Plan established the Library's major thrust and its primary goals and objectives for the remainder of the decade. The Plan has since been adapted and expanded to incorporate new trends and changes in technology. In this context, the Library's major goals for FY 1999 are:

- The relocation of archival records, museum artifacts, and library materials to an offsite shelving facility to temporarily address space issues at the main library and to address the storage of archives that are not currently in appropriate storage areas.
- Continued development and upgrade of the Library's world wide web site and its use of the Internet, both to access information and to make more Connecticut information available. We will continue our cooperative work with the General Assembly and other state agencies.
- Continuing efforts to improve all direct information and exhibit services, and all state wide administrative and support services to the Library's various customer groups.

- Continuing efforts to identify and implement efficiencies and cost-saving measures in all service and administrative areas.
- Complete the revision of the 1991 Comprehensive Facilities Plan for the Connecticut State Library to reflect the current and future space needs of the agency and then begin developing a building program.
- Implementation of the strategic plan for State Library's Division of Library Development. The Division completed a long-range strategic planning process to determine operational priorities, assess the effectiveness of our operation and analyze the needs of our primary clientele. The plan was accepted by the State Library Board in May 1999. The Division of Library Development will be working to achieve the following goals:

GOAL ONE - All library users in Connecticut will encounter library staff who are knowledgeable and customer focused

GOAL TWO - All Connecticut residents, regardless of their location, will have access to high-quality library service

GOAL THREE - All library users in Connecticut will have ready access to the library resources and information they need, when and where they need them

GOAL FOUR - Public libraries will be hubs of early literacy and early childhood information for children from birth to age 5

GOAL FIVE - Connecticut libraries will have the funding resources necessary to support their continuous advancement

GOAL SIX - Connecticut's residents will receive library service through an integrated statewide library structure that supports the effective delivery of library services

The State Library also participated in the development of a strategic plan for the Connecticut Heritage Foundation, formerly the Connecticut State Library and Museum Foundation. The Foundation was established by the State Library Board for the purpose of raising funds from private sources to enhance the collections and programs of the library and the Museum of Connecticut History and Heritage.

Information Reported as Required by State Statute

For the eleventh consecutive year the Library's Affirmative Action Plan was approved by the Commission on Human Rights and Opportunities.



Teachers' Retirement Board

At a Glance

WILLIAM J. SUDOL, *Administrator*
Established - 1917
Statutory authority - CGS Chapter 167a
Central office - 21 Grand Street,
Hartford, CT 06106
Average number of full-time employees - 28
Recurring operating
expenses - \$4,325,510
Appropriation expended for Funding
Normal Cost and Past Service
Liabilities and Health
Services - \$196,779,295
Organizational structure - Administrative
Division, Retirement Division, Accounting
Division, Information Systems Division

Mission

The mission of the Teachers' Retirement Board is to obtain adequate funding to pay all benefits and to effectively administer the retirement system; to protect and administer the statutory rights and benefits of members of the State Teachers' Retirement System, and to provide pre/post retirement services.

Statutory Responsibility

The provisions of the Teachers' Retirement System are contained in Chapter 167a of the Connecticut General Statutes to provide retirement, disability, survivorship and health insurance benefits for Connecticut public school teachers and their beneficiaries. The benefits of the program are funded by employee contributions, state appropriations and investment income. The program is intended to provide financial security at retirement for career Connecticut public school teachers, to replace lost income as a result of disability and to provide benefits to survivors of teachers who die while actively teaching. Members of the system are informed of their rights, benefits and responsibilities to claim benefits by receiving annual statements of benefits, newsletters and topical publications. In addition, individual counseling programs are available, on a limited basis, to assist members in the retirement planning process.

Public Service

During the past fiscal year, the Teachers' Retirement Board received approximately 22,000 telephone calls alone through its toll free number. A form mailbox is also available through the Agency's voice mail system to provide active and retired members with an opportunity to request forms, applications and other printed materials.

Telephone access to the Agency continues to be a major concern. The volume of calls, coupled with the need to respond to personalized financial inquiries from retired and active members placed a strain on the TRB to meet its commitment to provide this service.

During the past fiscal year, TRB updated and distributed many new publications and revised its Annual Statement of Benefits to provide members with more information related to retirement matters.

Improvements/Achievements 1998-99

During fiscal year 1998-1999, the Legislature restored funding to fill several positions that had remained vacant due to budgetary constraints. Six new staff members were hired bringing the Agency staffing level up to twenty-nine filled positions. In May, 1999, TRB also established a website - www.state.ct.us/trb to provide members with on-line access to a variety of information. A "What's New" page as well as an "Employer" page is expected to be added during the next fiscal year. The Agency also began development of its new Managed Membership System (MMS) which will replace the existing computer system that stores the data for its active teacher members. The existing system, developed in the early nineteen sixties, is not year 2000 compliant and is unable to meet the challenges of the new century. The new MMS system will automate the flow of data between local school districts and the Retirement Board,

reducing manual intervention improving the accuracy of data and reducing processing time.

Reducing Waste

The Teachers' Retirement Board continues to seek solutions to reduce unnecessary waste of staff resources or expenditures whenever possible. Retirees are encouraged to use electronic funds transfer (EFT) for the payment of their monthly benefit payments. During the past fiscal year, more than \$40,000 was saved in postal costs alone through the use of these payments.

The Agency has received funding to replace its current payroll system that generates benefit payments now totaling one-half billion dollars annually to more than twenty thousand retired teachers and beneficiaries. The new system is expected to vastly improve the processing of benefits, accommodate changes resulting from new programs and mandate and retain a full history of benefit payments. This system is expected to be operational in January, 2001.

Strategic Planning

Communicating timely and accurate information to members is an essential part of the retirement planning process. Efforts will continue to use the latest technology available to allow members to better access information. The Agency hopes to develop a benefit estimator on its website during the upcoming year to enable members to compute retirement potential retirement benefits and the cost to purchase service. In addition, the agency intends to replace its antiquated benefit payroll system with a new state of the art system that will meet the needs of our increasingly expanding retiree population. The Agency will also continue to review and recommend legislative and regulatory changes that will provide equitable and fair treatment to all members of the system.

Affirmative Action

It is the policy of the Teachers' Retirement Board to assure non-discrimination and affirmative action in all phases of the employment process including recruitment, application, interviewing, selection and testing, appointing, assigning, orientation, training, evaluation, promotion and counseling without regard to race, color, religious creed, sex, age, national origin, ancestry, physical disability, learning disability, marital status, sexual orientation, present or past history of mental disorder, mental retardation, political beliefs or criminal record.

To carry out this policy, the Board has undertaken positive action to overcome the present effects of past discrimination and to achieve, in a meaningful way, the full and fair utilization of women and minorities in the work force. It has developed a program of affirmative action and equal employment opportunity as an immediate and necessary objective that it pledges to aggressively pursue in every phase of its personnel policies. The Board shall continue to provide its services in a fair and impartial manner.

Administration - Personnel

Management of the Teachers' Retirement System is vested in the Teachers' Retirement Board. The following persons were members of the Teachers' Retirement Board on June 30, 1999:

Teacher Members

Mrs. Clare H. Barnett
Chairperson
Danbury Teacher
Rosalyn B. Schoonmaker
Vice-Chairperson
Retired Teacher
Bridgeport
Marion S. Jewell
Retired Teacher
Darien Woodstock, CT
Mary Nicholas
Vernon Teacher
Martin L. Rudnick
Milford Teacher

Public Members

Eugene Cimiano
Hartford, CT
Elaine T. Lowengard
West Hartford, CT
Deborah Freedman
Simsbury, CT
Martin M. Lilienthal
Meriden, CT
Augustine M. Masiello

Ex-Officio

Theodore Sergi
Commissioner
State Department
of Education
Patricia Wilson-Coker
Commissioner
State Department
of Social Services

Department of Transportation

At a Glance

JAMES F. SULLIVAN, *Commissioner*
James A. Adams, *Deputy Commissioner*
Established - 1969

Statutory authority - CGS P.A. 69-768
Central office - 2800 Berlin Turnpike,
Newington, CT 06131-7546

Authorized number of full-time
employees - 3,762

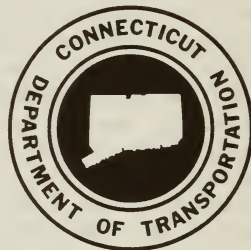
Recurring operating expenses -
\$309.3 million

FY '99 Capitol budget - \$681.6 million

Organizational structure - Office of the Commissioner, Bureau of Aviation and Ports, Bureau of Finance and Administration, Bureau of Engineering and Highway Operations, Bureau of Policy and Planning, Bureau of Public Transportation, State Traffic Commission.

Mission

To provide a safe, efficient and cost-effective transportation system that meets the mobility needs of its users.



Statutory Responsibility

The agency shall be responsible for all aspects of the planning, development, maintenance, and improvement of transportation in the state (Section 13b-3 C.G.S.). The agency serves its customers by providing safe and efficient systems for the movement of people and goods within, to or from the state, whether by highway, air, water, rail, or other means (Section 13b-2(I)).

Public Service

The agency uses a public planning process to inform its customers of transportation needs and plans. The agency gauges its effectiveness by customer feedback during the public planning process and ongoing day-to-day operating systems.

Improvements/Achievements 1998-99

- Bradley International Airport, which is operated and maintained as a revenue-producing enterprise, estimates a net income of \$11.8 million.
- Supporting facilities at the State Pier continue to be developed.
- Inspected 2,640 highway bridges and 374 railroad bridges to assure safety of the traveling public.
- Investigations were conducted at 24 high-frequency accident locations, and improvements were recommended at 12 locations.
- A total of 2,247 incidents occurring on limited access highways were responded to by the Bridgeport and Newington Operations Centers.
- A total of 9 winter storms required use of 96,136 tons of chloride and 204,664 cubic yards of sand for snow and ice control on 6,009 two-lane miles of state roadways.
- Continued weekday Connecticut Highway Assistance Motorist Patrol (CHAMP) service patrol operation on I-95 between Greenwich and Branford and on sections of Routes 7, 8, and I-91 to perform emergency highway assistance for motorists. A total of 10,048 vehicles were assisted.
- Accomplished \$279.7 million worth of construction, as determined by payments to contractors.
- Completed the major widening of East Main Street in Meriden and Route 44 in Coventry; reconstruction of West Johnson Avenue in Cheshire; intersection and safety improvements on Route 69 in Wolcott; resurfacing and bridge rehabilitation on I-95 in Guilford; resurfacing of Route 32 in New London and Waterford; improvements at

Danielson Airport; resurfacing and safety improvements on I-95 in Greenwich; reconstruction of Route 5 in North Haven and Route 136 in Norwalk; resurfacing of the Windsor Locks Canal Bike Path; and interchange improvements at Route 8 and Route 34 in Derby.

- Received \$11.1 million in royalties, from highway restaurants and gas stations.
- Issued special tax obligation bonds totaling \$225 million.
- Sustained New Haven Rail Line annual on-time performance at 96.4 percent and maintained a solid level of customer satisfaction measured by annual ridership surveys.
- The proposed Hartford-to-New Britain Busway project was chosen by the Federal Transit Administration as one of the ten projects nationwide to be included in the federal Bus Rapid Transit Demonstration Program. A federal grant will aid in the planning phase of the nine-mile exclusive busway to be built on railroad right-of-way.

Reducing Waste

The agency has an ongoing program of management reviews, internal audits, and marketization analysis resulting in recommendations for improving productivity, efficiency, and financial effectiveness.

Strategic Planning

Each year the agency published the Master Transportation Plan as required by Section 13b-15 of the Connecticut General Statutes as amended. Its purpose is to provide its customers, the Administration, the General Assembly, local elected officials, and the general public with a comprehensive understanding of the transportation projects and programs that the agency will be pursuing over the next ten years. The strategic goals of the agency are to:

- Ensure safety.
- Maintain the Existing System.
- Increase System Productivity.
- Promote Economic Development.
- Provide Required Capacity.

Information Reported as Required by State Statute

The agency shall develop and revise, annually, a comprehensive, long-range, master transportation plan designed to fulfill the present and future needs of the state and to assure the development and maintenance of an adequate, safe and efficient transportation system (Section 13b-15 C.G.S.)

Affirmative Action Division

It is the established policy of the Department to guarantee equal employment opportunity and to implement affirmative action programs. All services and programs of the Department are administered in a fair and impartial manner, pursuant to the State Code of Fair Practices and all other relevant state and federal laws and regulations. The Affirmative Action Division responded to the 13 new discrimination complaints, monitored 12 pending cases and closed three active complaints. The Department continues diversity training for all employees. The 1998-99 Code of Fair Practices Survey was conducted with all units found in compliance. The Department continued to work cooperatively with the Commission on Human Rights and Opportunities and other state and federal compliance agencies in conducting reviews and providing requested information.

Office of Communications

This office maintained daily contact with the news media, other public agencies and private citizens in the dissemination of information regarding transportation projects and transit services supported by the Department. It also carried out an internal communications program for Department employees.

Legislative Office

This office manages legislative activities for the Department. It advises the Commissioner on all legislative matters, lobbies the legislature on various issues, distributes proposed legisla-

tion to the five Department bureaus for review and investigates legislators' constituents' concerns and problems. The legislative program manager is the liaison for the Department and attends various committee meetings and hearings on items which will impact the Department.

Office of Management Services

This office conducted Department-wide management reviews, internal audits, and marketization analysis resulting in recommendations for improving productivity, efficiency, and financial effectiveness. In addition, it performed security inspections and handled security investigations. All activities performed by this office were performed in compliance with the Code of Fair Practices.

State Traffic Commission

The commission issued 49 town speed limit certificates; 141 permits for state signal installations, revisions and removals; and 84 permits for town signal installations, revisions and removals. In addition, 326 permits were issued to allow parades and special events to use state highways. Also, the commission approved the issuance of 88 certificates for the establishment or expansion of developments generating large volumes of traffic affecting public highways. Also noted is the commission's approval to raise the speed limit to 65 mph on 338.24 miles of interstate highway.

Bureau of Aviation and Ports

The Bureau of Aviation and Ports manages Bradley International Airport, the Admiral Harold E. Shear State Pier in New London, the two Connecticut River ferry boat operations at Rocky Hill/Glastonbury and Chester/Hadlyme and the five general aviation airports at Hartford-Brainard Airport, Groton-New London Airport, Waterbury-Oxford Airport, Windham Airport and Danielson Airport. The Bureau is also responsible for licensing, inspection and regulation of approximately 125 other aviation facilities in the state and for the licensing of Connecticut's marine pilots and shipping agents. In addition, this Bureau maintains records of harbormaster assignments and pays each harbormaster an annual stipend.

Major activities for each of these offices during the past year were as follows:

Office of Finance: Directed, coordinated and administered the annual Transportation Fund Operating Budget for general aviation, ferry and port operations. For fiscal year 1999, receipts were estimated at \$1.4 million, with operating expenses of \$3.1 million and \$868,000 in PILOT aviation registration payments.

Bradley International Airport is operated and maintained as a revenue-producing enterprise. For fiscal year 1999, Bradley was projected to show a net income of \$11.8 million. Revenues were projected at \$47.8 million, and expenses are projected at \$36.0 million.

Office of Project Management

During the 1998/99 fiscal year, the Office of Project Management reviewed and supervised the renovations of approximately 50 projects dealing with various improvements proposed by tenants at State-owned facilities.

At Bradley International Airport, a consultant has been selected and started the design of the new terminal configuration surrounding Terminal A. Associated site improvements related to the terminal expansion will include: the construction of a multi-level parking garage in front of the new terminal and Terminal A, terminal roadway realignments, the construction of a glycol collection system surrounding the terminal gate areas, the paving of a grass island between Taxiways "S" and "W" to prevent the disruption of air cargo operations after the new terminal is constructed, and the construction of a new maintenance facility. These terminal and site improvements will be completed by the year 2001. Construction has started on the remote deicing facility. This facility will allow aircraft to be deiced after they have departed from the terminal gate, just prior to takeoff. This project is scheduled for completion in the summer of 2000. Additionally, several projects have been awarded, and construction is scheduled to commence this summer, for improvements associated with guard lights, a new control system for field lighting and the rehabilitation of a portion of Taxiway "C." A project has been initiated to reconstruct Taxiway "S."

At the Harold E. Shear State Pier, construction of a new water line to supply adequate fire suppression for the pier property has been completed.

At Groton-New London Airport, design continues for the rehabilitation of Runway 15-33 and parallel Taxiway "B." Additionally, a project has been initiated to study the environmental impacts of extending the Runway 5-23 safety areas to comply with Federal Aviation Administration (FAA) regulations. The study and recommendations will be completed by summer 2000. The Airport Master Plan has been completed and is awaiting approval by the FAA.

At Waterbury-Oxford Airport, a project is currently under construction to provide sanitary sewers for the airport's tenants and state facilities. Construction has also commenced on the development of the east side of the airport. Ultimately this development will include three large hangars capable of servicing corporate jets as well as two T-hangars. This development will be operated by the existing Fixed Base Operator (FBO). A project currently in the design phase, scheduled for construction in the summer of 2000, will provide additional safety area for Runway 18-36 and rehabilitation of parallel Taxiway "A."

At Windham Airport, a project has been awarded for the extension of Taxiway "A." Construction is scheduled for completion in the spring of 2000. The Airport Master Plan is in its final stages of completion and should be available late summer 1999.

A project has been initiated for vegetation management, on an individual basis, for all the state-owned airports. The object is to identify obstructions, such as trees, and formulate a plan for their removal, trimming, or the management of the area.

At the various state-owned airports, annual pavement inspection/evaluation is an ongoing process, and numerous lease maps for the state facilities were prepared.

Grant-in-Aid to municipal airports was also administered. This included projects at Danbury Municipal Airport, Sikorsky Memorial Airport, and Tweed-New Haven Regional Airport.

Bradley International Airport

Operated Bradley International Airport in compliance with all federal and state regulations and statutes to maintain the airport's operating certificate. There were zero violations during the annual (FAA) inspection for the fourth consecutive year.

Bradley initiated both a mini-noise study and full Part 150 assessment in working with the FAA and local towns on airport noise issues.

Bradley continued its contract for the collection and processing of deicing fluid at the airport. Glycol recovery reached a high of 91.2 percent in March 1999. Bradley operated three glycol recovery units and became the first U.S. site at which recaptured glycol was successfully processed and approved for re-use as Type I glycol deicing fluid. Bradley also used potassium acetate, an environmentally friendly runway deicer/anti-icer.

Construction began on both a new remote deicing facility and main fire station. Plans were announced for the construction of a new passenger terminal to be coupled with renovations to existing Terminal A and the International Arrivals Building.

Passenger enplanements and revenues continue to grow.

Office of Marketing and Development

Worked directly with various Chambers of Commerce and tourism officials, airport tenants and travelers to coordinate marketing activities.

Implemented a strategic marketing campaign promoting Bradley International Airport using radio, print and billboards.

Continued to market and promote Bradley to encourage new air carriers to operate from Bradley, which resulted in two new airlines serving the Airport.

New service was added to four Florida markets by Metrojet and to Buffalo, Wilmington and Norfolk by Shuttle America.

Office of Water Transportation

Managed the escalating operations at the Admiral Harold E. Shear State Pier as more customers begin to take advantage of the intermodal connections that the Port of New London now offers.

Participated in developing a Municipal Development Plan (MDP). This MDP will be used to implement the development recommendations for the state-owned property surrounding the reconstructed pier, and incorporate other properties into a use that supports the marine terminal activities.

Protected the marine environment by licensing marine pilots and continued the effort to

develop an integrated Connecticut pilot rotation agreement.

Provided assistance to the Department of Environmental Protection and day-to-day technical assistance to all the state's harbormasters.

Promoted tourism and economical travel by operating the historic Connecticut River ferries.

Bureau of Engineering and Highway Operations Office of Fiscal/Special Projects

This Office, through its Scheduling and Financial Program Management Division and Financial Services Division, coordinated the development, implementation, financial review and financial management of the Bureau of Engineering and Highway Operations' \$400 million Federal-Aid Highway Program, \$130 million Highway Bond Program, \$10.2 million Highway and Bridge Construction and Renewal Program and \$103.3 million Operating Account Appropriation.

The Division of Highway Safety (DHS) administers the state's (Section 402) Highway Safety Program. During the 1998-99 fiscal year, approximately \$3.34 million in federal funds were programmed for projects in the following areas:

Program Administration (\$150,000): The Division of Highway Safety, under the direction of the Governor's Highway Safety Representative, has administrative responsibility for the planning, programming, implementation, monitoring, review and evaluation of the Highway Safety Program in Connecticut.

Impaired Driving Programs (\$1,055,000): Resources were allocated to state and local enforcement agencies for (a) the purpose of targeting key population groups and known DUI (driving under the influence) locations and times during holiday periods; (b) expanded DUI programs (periods other than holidays which address particular needs of the city/town); (c) regional sobriety checkpoints; (d) assistance in Standard Field Sobriety Training (SFST) for law enforcement officers; (e) coordination of "Teen Power Camp" (alcohol prevention workshop for youth) with the Mothers Against Drunk Driving (MADD); (f) coordination of statewide "Cops-in-Shops" underage alcohol enforcement program and general underage drinking enforcement; i.e., bar checks, beach patrols, etc.; (g) acquisition of in-car video equipment by local police agencies; (h) ongoing maintenance of the statewide DUI arrest data base; and (i) public awareness efforts including Project Graduation.

Police Traffic Services Programs (\$820,000): Provided local police agencies with speed detection devices; supported selective enforcement activities conducted by the Connecticut State Police; and established a grant incentive program by providing speed monitoring awareness radar trailers to municipalities forming mutual aid compacts.

Occupant Injury Protection Programs (\$800,000): Continued regional Community Traffic Safety/Safe Community Programs in the Waterbury (Health Department) area and the southeastern part of the state (Waterford Police Department); and continued to implement a comprehensive, statewide safety belt and child safety seat public information and education program. Continued the statewide "High Visibility Safety Belt and Child Safety Seat Law Enforcement Campaign." Completed a statewide probability-based observational survey that showed that the seat belt usage rate for the state of Connecticut increased to 70.1%. A "Seat Belt Rollover Simulator" was purchased for use by local police agencies to present public demonstrations statewide.

Traffic Records Program (\$148,000): Continued with the implementation of the "Strategic Vision for Traffic Records" under the direction of the State Traffic Records Coordinating Committee; continued to maintain the Driving Under the Influence Field Arrest File; and made additional technical improvements in the computer software utilized by law enforcement officers to collect motor vehicle crash data in the field.

Roadway Safety Programs (\$137,000): Continued the statewide program which provides work-zone safety signs/materials to municipalities. To date, 138 communities have participated.

Motorcycle Safety Programs (\$230,000): Continued to administer the statewide Connecticut Rider Education Program which annually trains more than 2,200 novice and experienced motorcycle operators in safe operating techniques; continued a statewide safety gear (i.e., helmet) promotional campaign; incorporated the National Highway Traffic Safety Administration's (NHTSA's) "Riding Straight" brochure into a state road map designed for motorcyclists; and distributed NHTSA motorcycle safety materials at several motorcycle rallies throughout the

state.

Office of Engineering

The State Forces Design Division completed the design of 54 projects having a construction value of \$103 million. The work involved the design of new roadways, bridge rehabilitation's and 54.3 two-lane miles for the Contract Resurfacing Program. Additional designs were completed, totaling \$92 million for railroad stations, rail yard and rail maintenance facilities; highway maintenance garages and salt shed facilities; airport pavement rehabilitation, drainage, lighting work, glycol recovery systems and emergency rescue/fire facilities; and landscaping and general facilities work. The division reviewed 75 major traffic generators, processed 133 requests for release of excess property and provided 300 special studies, including the development of new guide rail designs and application policies.

The Project Concept Unit, which is primarily responsible for reviewing, revising, and initiating preliminary project applications from municipalities for future projects under the STP-Urban and Rural Programs, was assigned the initial review of 46 proposed projects. The unit has recommended that 31 projects be initiated based on their analysis of the entire active project review list.

The Consultant Design Division administered the completion of design on 14 state road projects having a construction value of \$267 million, 37 local road and enhancement projects having a construction value of \$28 million and 40 bridge rehabilitation projects having a construction value of \$67 million.

The Design Services Division includes the Bridge Safety and Evaluation, Soils and Foundations, Utilities, Contract Development/Cost Estimating, and Hydraulics and Drainage Sections.

The Bridge Safety and Evaluation Section inspected 2,640 highway and 374 railroad bridges and completed underwater substructure inspections for 196 bridges in accordance with the National Bridge Inspection Standards. The load capacity of 413 bridges was evaluated, and 236 overweight truck permit requests were reviewed for routing on state roads.

The Soils and Foundations Section provided 35 geotechnical studies and 435 formal design reviews of transportation-related projects for the Divisions of State Design and Consultant Design. Special staff attention was required for the design and construction of interstate improvement projects in Bridgeport, Milford and Danbury, and bridge rehabilitation projects for Metro-North Railroad between New Haven and Greenwich. The section also provided specialized geotechnical engineering services for the Office of Construction and provided support to the Office of Maintenance with regard to rockfall mitigation and earth slope stabilization.

The Utility Section completed 408 agreements on 200 projects for preliminary engineering studies and utility adjustments required for construction and maintenance projects. In addition, 22 railroad agreements were prepared for 22 projects.

The Contract Development/Cost Estimating Section processed 81 projects for advertising, including 73 highway and bridge improvement projects, six airport improvement projects and two projects for improvements to maintenance facilities and railroad-related facilities.

The Hydraulics and Drainage Section has completed 23 hydrologic and hydraulic designs and 515 formal reviews for the design phase of transportation projects. This Section continued to administer the Department's Bridge Scour Evaluation program for 1,262 structures over waterways.

The Environmental Compliance Division received 160 projects for preliminary environmental screening. A total of 93 projects were evaluated for possible involvement with hazardous and/or contaminated materials. These led to 20 site-specific compliance evaluations and 79 soil and/or groundwater investigations. Specialized Remedial Management Plans and Specifications for 30 projects were developed. Construction Compliance Management services were provided on 70 projects. Additionally, the Division administered 65 asbestos and lead surveys resulting in 40 asbestos abatement projects, as well as nine lead abatement projects with residences having children under six years old.

Additional work in the vicinity of ConnDOT's maintenance facilities included: Operation of eight groundwater treatment systems and 10 residential water supply projects; water quality monitoring at 25 locations; and contamination claims investigations at six sites. Soil/tank remediation projects were undertaken at 25 facilities and four waste sites. Fuel tanks were brought into regulatory compliance at 36 facilities.

Division personnel made 50 environmental compliance inspections at ConnDOT facilities and 25 inspections at bridge painting locations; processed 380 hazardous waste manifests and approved an additional eight hazardous waste disposal facilities; and provided ongoing training and monitoring of stormwater pollution prevention plans and environmental management plans at 100 maintenance facilities, five general aviation airports and Bradley International Airport. There were 14 General Permits completed for emergency generators, and 16 more have been initiated for the airports and maintenance facilities. Also, six General Permits for surface coating operations have been completed for repair facilities. There is continued support for spill prevention countermeasures and contingency plans at 20 sites and a Resource Conservation Recovery Act contingency plan at one site. Division personnel also provided emergency responses on 12 occasions.

The Traffic Engineering Division provided safety improvements on state highways, federal-aid highway systems and local roads. Investigations were conducted at 24 high-frequency accident locations, and improvements were recommended at 12 locations.

The design or revision of 433 traffic control signals was completed which included five hazard elimination projects, four Surface Transportation 30% Anywhere projects, one Surface Transportation Rural project, and four Congestion Mitigation projects.

Under the rail/highway grade crossing program, four projects were completed in construction, eight projects are under construction, nine projects are being designed and one project was completed in design.

The Division reviewed 127 major traffic generators for State Traffic Commission compliance with CGS 14-311. The Division also received 1,963 requests for traffic engineering investigations from citizens and federal, state and local offices

State forces are completing a project to improve stop signs on all approaches to state highways and another project to replace wrong-way signing on expressways. Both of these projects are using a highly reflective material expecting to increase safety and visibility. Another project is upgrading traffic signals with red LED indications.

The Division received eight locations to review for inclusion in the Local Road Accident Reduction Program. Four locations were selected and recommended for funding under the program at an estimated value of \$482,000.

Office of Maintenance and Highway Operations

The Office of Maintenance and Highway Operations provided roadway and roadside maintenance, including snow and ice control, for 6,009 effective two-lane miles of roadway. Additional roadway surface, including snow and ice control, was served at 46 state agencies.

Roadway surfaces totaling 368 miles were maintained with applications as follows: 252 miles of vendor-applied bituminous concrete overlay, 50 miles of pavement leveling by state forces and 66 miles of liquid surface treatment.

There were nine winter storms which required the use of 96,136 tons of chloride and 204,664 cubic yards of sand abrasives. These were applied with 632 state trucks and 250 contracted trucks.

Approximately 53,483 feet of drainage pipe were installed along with 1,602 drainage structures.

The Traffic Services Units painted 6,275 miles of centerlines and lane lines; erected 5,868 new traffic regulatory, warning and directional signs; renewed or removed 12,328 existing signs; continued maintenance of 14,798 traffic signals and 813 miles of highway illumination; and installed nine new traffic signals and 180 signal revisions.

Computerized traffic control systems were expanded to a total of 914 traffic signals on 45 major arterials in 51 municipalities. There are 73 variable message signs used for maintenance, construction, and incident management purposes on-line at various locations on Interstates 84, 91, and 95 and on Routes 1, 2, 7, 8, 9, 15, 34, 80 and 796. A total of 2,247 incidents occurring on limited access highways were responded to by both Bridgeport and Newington Operations Centers.

The Department's CHAMP program (Connecticut Highway Assistance Motorist Patrol) performed emergency highway assistance for motorists along I-95 from Greenwich to Branford, on Route 7 in Norwalk, on Route 8 in Bridgeport and Trumbull, on the Milford Connector, and on

I-91 in New Haven. A total of 10,048 vehicles were assisted by the CHAMP program via the Bridgeport Operations Center.

There were 512 training sessions conducted in major maintenance subjects.

During the past year, maintenance repairs were performed on 1,290 of the 3,831 state-maintained bridges through the combined efforts of department personnel and contractors.

There were 5,945 permit investigations conducted; 4,257 highway encroachment permits issued; and 5,192 traffic investigations, 2,722 drainage investigations, and 1,228 claims investigations were required.

The Oversize/Overweight Permit Unit collected \$2.3 million for the issuance of 89,274 over-size/overweight permits, 353 radioactive permits and 159 industrial permits.

The Pavement Management Unit continued to evaluate roadway distress through automated computer image scanning. The surface roughness is also quantified and, together with distress, is used to generate a Pavement Condition Report, which is one mechanism used to develop the Department's paving programs. A refocusing of attention to alternative, state-of-the-art rehabilitation technologies and planning for more extensive repairs will begin now that the infrastructure rebuilding effort is leveling off after almost 10 years. The Unit has also continued the implementation of a pavement management system for six regional planning agencies. Also, this Unit responded to almost 400 requests for pavement analysis determinations and reviews on highway and airport projects, along with providing technical support for various projects in construction. Finally, this Unit was transferred from the Office of Engineering to the Office of Maintenance to streamline concurrent activities.

A three-foot swath under all guide rail systems was treated with the appropriate herbicide to control the growth of vegetation in these areas.

Office of Construction

During fiscal year 1998-99, \$279.7 million worth of construction was accomplished, as determined by payment to contractors, and 85 contracts totaling \$144.0 million were completed, including 60 bridges and 82 miles of roadway.

The Survey and Plans Units of the Districts and Central Surveys initiated the survey on 278 projects and completed the survey of 221 projects. In addition, they performed 209 kilometers or 130 miles of boundary work, set 416 monuments, and performed 3,167 kilometers or 1,967 miles of geodetic control using Global Positioning System (G.P.S.) performed by Central Surveys.

Approval was granted for 173 Disadvantaged Business Enterprise subcontracts with a value of \$15.0 million and 25 Small Business Enterprise subcontracts with a value of \$3.1 million.

The following are significant completed projects: Major Widening of East Main Street in Meriden; Major Widening of Route 44 in Coventry; Reconstruction of West Johnson Avenue in Cheshire; Intersection and Safety Improvements on Route 69 in Wolcott; Resurfacing of Windsor Locks Canal Bike Path; Glastonbury Maintenance Facility and Environmental Site Improvements; Resurfacing and Bridge Restorations on I-95 in Guilford; Resurfacing of Route 32 in New London - Waterford; Improvements to the Danielson Airport; Reconstruction of Route 31 in Coventry; Resurfacing of Route 695 in Killingly; Bridge Coating on Route 2A in Montville; Resurfacing and Safety Improvements on I-95 in Greenwich; Reconstruction of Route 5 in North Haven; Reconstruction of Route 136 in Norwalk; Relocation of the Danbury Railroad Station; and Interchange Improvements to Routes 8 and 34 in Derby.

Major projects under way include the following: Reconstruction of I-91 and Founders Bridge in Hartford; Resurfacing of I-84 in West Hartford and Hartford; Resurfacing of I-91 in Wethersfield, Rocky Hill, Cromwell, Middletown, and Meriden; Reconstruction of Route 159 in Windsor Locks; Reconstruction of Routes 2 and 32 in Norwich; Bridge Rehabilitation and Painting of the Gold Star Bridge in New London and Groton; Reconstruction of Route 6 in Windham; Bridge Replacement on Route 661 in Windham; Bridge Restoration on Route 82 in Haddam and East Haddam; Reconstruction of I-95 and the interchange with Routes 8 and 25 in Bridgeport; Replacement of the Tomlinson Bridge over the Quinnipiac River in New Haven; and Railroad Station and Facility Improvements in Stamford.

The Office of Construction also includes the Division of Research and Materials Testing. Their accomplishments are as follows: the staff of Materials Testing issued 41,193 reports, which required approximately 124,000 individual tests.

Personnel from the Office of Research and Materials have been instrumental in the installation and continued implementation of a pavement design system entitled SUPERPAVE. This new procedure to design Hot Mix Asphalt (HMA) pavements incorporates performance based asphaltic materials (both asphalt cements and aggregates), environmental conditions and traffic loadings for specific paving sites. By utilizing this procedure, the service and performance lives of roadways could be substantially improved. ConnDOT is currently employing this technology on several roadways throughout the state.

The Research staff conducted and/or administered 22 research projects during 1998/99 on a wide range of topics. A study to evaluate a continuous, automated Quartz Piezo Weight-in-Motion system on Route 2 in Lebanon has placed national attention on ConnDOT. This is the first installation on a U.S. highway of this new European technology, and there is considerable interest in the evaluation. Emphasis has been placed on a research project to instrument a network of bridges for structural and weather monitoring. Seven bridges are in the process of being instrumented for computerized remote monitoring. Several new research studies were initiated in the period. These include: (1) Evaluation of a Vertical Clearance Sensor for the Photolog; (2) Testing and Evaluation of the Automated Sign Identification System (ASIS); (3) Development of Guidelines for Reduction of Temperature Differential Damage for Hot Mix Asphalt Pavement Projects; (4) Evaluation of Alternative Fuel Light Trucks and Automobiles; and (5) Development and Implementation of the Digital Versatile Disk (DVD) for Photolog.

Photolog equipment was upgraded and used to gather data and high-tech video images on 3,800 route miles of state-maintained highways. All data and images are geo-referenced by a global positioning system capability and are available throughout the Department so that thousands of field trips are avoided each year, during the course of business.

Personnel from the Division of Materials Testing are continuing to coordinate the certification of technicians, in order to comply with the Code of Federal Regulations, 23CFR, Part 637, which states that no later than June 29, 2000, all sampling and testing data used in acceptance decision will be executed by qualified personnel.

The Office of Construction is continuing to coordinate efforts between the Department, the construction industry, the Federal Highway Administration Connecticut Division, and the State Police to look for better ways to improve the safety for both the traveling public and workers in our construction work zones.

ConnDOT is now in the process of implementing the American Association of State Highway and Transportation Officials (AASHTO) Site Manager System. This system will replace the existing Construction Management Reporting System (CMR) by the end of the next fiscal year.

Office of Rights of Way

This office completed 908 acquisitions of real property for transportation projects at a cost of \$9,751,121. A total of 67 relocation payments were processed at a cost of \$604,109.

Some 849 acquisition appraisals were completed by the Appraisal Division. In addition, another 51 appraisals were completed for leases and sales of state land; 159 project cost estimates were completed.

The Property Management Division managed long- and short-term leases of highway property producing \$1,890,000 in rental income. Some 80 sales transactions were closed for a total income of \$7,500,000. In addition, six parcels were transferred to various state agencies.

Bureau of Finance and Administration

The Bureau of Finance and Administration provided administrative, budgetary, financial, personnel, information management and support services to all bureaus and units in the Department.

Division of Contract Compliance

This office performed the external equal employment opportunity affirmative action, disadvantaged business enterprise and on-the-job training compliance functions of the Department for its capital projects.

There were 1,242 affirmative action plans reviewed which were submitted by firms doing business with the Department; 854 plans were approved. Approval of the remaining 388 plans

are pending.

There were 249 firms certified by the Department as Disadvantaged Business Enterprises (DBEs). Table I breaks down the firms by trade category.

For the period October 1, 1997 through September 30, 1998 there were 230 projects with an estimated value of \$518.3 million reviewed by the DBE Screening Committee. These included

TABLE I
DBE, WBE, D/WBE - 1998/1999

TOTAL 249				
CATEGORY	DBE	WBE	D/WBE	TOTAL
Construction	43	43	7	93
Consultant	56	56	7	119
Construction/Supplier	2	3	0	5
Construction/Consultant	1	0	0	1
Manufacturer	1	1	1	3
Supplier	8	13	4	25
Supplier/Manufacturer	0	2	0	2
Supplier/Service	1	0	0	1
SUB TOTAL	112	118	19	249

207 projects with an estimated value of \$487.9 million which involved federal participation. DBE goals amounted to \$61.7 million (12.6 percent). The remaining 23 projects with an estimated value of \$30.4 million were state funded and assigned a Small Business Enterprise (SBE) goal which amounted to \$4.2 million (14.0 percent).

The contracts awarded in this fiscal year were 116 totaling \$181.5 million. Federally assisted contracts were 84 totaling \$120.6 million. Of the 84 federally assisted projects, 12 projects, or 14 percent, were awarded to DBEs as prime contractors, with a total dollar value of \$9.9 million, or 8 percent. Twenty-eight projects were state funded totaling \$50.9 million. Of the 28, 9, or 32 percent, were awarded to SBEs as prime contractors, with a total dollar value of \$8.3 million, or 16 percent.

The Division of Contract Compliance conducted an On-the-Job Training (OJT) Program which emphasized the recruitment and employment of minorities and females for occupations in the highway construction industry.

There were 59 individuals who started the OJT Program. These included 30 males (51.0 percent) and 29 females (49 percent). Of the 30 males, 23 (76.7 percent) were Black; 1 (3.3 percent) White; 5 (16.7 percent) Hispanic, and 1 (3.3 percent) Native American. Of the 29 females, 14 (48.3 percent) were White; 12 (41.4 percent) Black; (6.9 percent) Hispanic and 1(3.3 percent) Native American.

The annual survey of highway construction employment statistics disclosed that 2,593 persons were employed on highway construction projects in July 1998. This figure includes 2,446 (94.33 percent) males and 147 (5.67 percent) females. Of the 2,446 males, 1,998 (76.71 percent) were White; 209 (8.06 percent) Black; 211 (8.14 percent) Hispanic; 22 (0.85 percent) Native American and 15 (5.8 percent) Asian.

Of the 147 females, 113 (4.36 percent) were White; 21 (0.81 percent) Black; (0.31 percent) Hispanic; Native American 3 (0.12 percent), and 2 (0.08 percent) Asian.

Division of Contract Administration

The division administered legal agreements, consultant and contracting engineer negotiations and contract award functions. It includes the Agreement, Negotiation and Contract Sections.

The Agreement Section reviewed and processed a total of 683 agreements and leases, including 59 original agreements, 62 supplemental agreements, 142 extra work claims and 140

on-call assignments with consultants and contracting engineers. The total value of the consultants' and contracting engineers' agreements negotiated was \$113.1 million. The Contract Section awarded 114 construction contracts totaling \$305 million and 7 demolition contracts payable to the state totaling \$71,294 for 15 structures.

Division of Property and Facilities Services

This division coordinated and monitored vehicle use, inventoried all Department buildings and equipment, and maintained and repaired all facilities. The major administration buildings, other facilities, land and equipment are valued at more than \$1.1 billion. During the year, 2,601 repair orders were issued to address this responsibility. Also, this office processed 600 defective highway claims and 258 fleet claims.

Property and Facilities Services completed the testing and inventorying of 137 motor fuel tank installations at 71 facilities to ensure DEP/EPA compliance. It also provided over 60 building permits, along with the associated building code and ADA compliance inspections, for construction, alteration, or renovation occurring at any of our DOT facilities; and tenant facilities on state property.

It administered contracts for the management of 10 restaurants, the Newington cafeteria, 23 gasoline stations and two food courts which are leased to private operators. Motor fuel sales totaled 51,494,358 gallons at an increase of 9.13 percent from prior year. Gasoline royalties were \$5.6 million, restaurant royalties were \$5.1 million and Mobil Mart royalties were \$433.8 thousand, for total royalties of \$11.1 million.

Division of Purchasing and Materials Management

Purchasing handled approximately 24,000 purchase transactions totaling an estimated \$95,000,000 and 40 personal service agreements totaling \$267,807. Materials Management, encompassing a central warehouse and 14 satellite facilities, dispersed \$14,770,949 in materials and supplies to operating units and directed the operation of 95 gasoline/diesel stations throughout the state.

Office of Personnel

Personnel Division staff continued to administer the Federal Highway Administration mandated drug and alcohol testing program covering over 1,800 employees who are required to hold a Commercial Driver's License (CDL); represented agency management on several labor contract negotiating teams to protect and promote the Department's interests; assisted the Chief Engineer in negotiating a special side letter of agreement with the maintenance union which resulted in significant savings to the state in drawbridge and rest area operations; continued efforts to reduce Workers' Compensation liability resulting in the achievement of potential future savings; conducted educational seminars promoting the Employee Assistance Program (EAP) and focusing on such issues as workplace violence and substance abuse; provided medical clinic preventative services, such as blood pressure checks and screening to office and field personnel; and continued presentations for Supervisory Development Training in the areas of labor relations, personnel management, interviewing skills, and performance evaluations.

The Training Division continued to provide a wide range of education and training opportunities and programs designed to improve current job performance. Areas of concentration included technical training for engineering, construction and maintenance personnel intended to keep them up-to-date with changing technologies, supervisory and management development training, and safety training. A series of supervisory courses and a nine-month "Leadership Program" were held providing supervisors and managers with the skills necessary for effective leadership in today's workplace. Health and safety issues, accident prevention and work zone safety were emphasized for maintenance and construction employees. A Departmentwide effort to provide training on Work Force Diversity to all DOT employees is continuing with over 2000 employees trained. This training is designed to help all employees understand, communicate and work with coworkers, supervisors and customers to accomplish the Department's work more effectively. In addition, the Training Division consults with units throughout the Department to provide support and guidance in improving performance.

The Safety Division has continued its programs of in-house Occupational Safety and Health Administration (OSHA) compliance evaluations and inspections. This greatly assists the De-

partment in meeting its responsibilities under the Federal and State OSHA Acts. The Safety Division has taken advantage of a variety of services offered by OSHA. One of the most effective has been the OSHA consultation service, which allows the Safety Division to work in conjunction with OSHA in resolving safety issues in a proactive manner. The results of these efforts have been an overall reduction in the number of injured employees, as well as a reduced number of lost days due to these injuries. Additionally, the Safety Division strives to educate supervisors and employees on safety-related topics through the implementation of ongoing training programs, many of which are conducted on an annual review basis. Finally, the Safety Division continues its efforts to consult and advise the agency in the interpretation and implementation of health and safety-related standards. The Safety Division continually seeks ways to reduce accidents and injuries which, in turn, creates a safer work environment for all employees and reduces overall costs to the agency.

Office of Finance

The Office of Finance coordinated Special Tax Obligation Bonds issuance's totaling \$225 million for fiscal year 1999.

The Division of Accounting Services maintained all of the Department's official accounting records, performed the reconciliation of the Department's ledgers with those of the Office of the Comptroller and prepared and distributed all required financial reports. The Accounts Payable Unit provided for the payment of all utilities, payments to contractors, payments to consultants and payments to vendors and suppliers of all quantity purchases and services utilized by the Department. The Accounts Payable section processed 7,070 payment lists consisting of 40,713 vouchers of payments for obligations.

The Capital Services Division collected accounts receivable; provided fiscal control of the capital program; and maximized the use of Federal Highway Administration Funds through procurement and billing.

The Accounts Receivable section collected \$49.2 million.

The Project Cost Control section coordinated monthly requests to the State Bond Commission for allocations to finance the capital transportation projects, including requests of \$186.5 million for the fifteenth year of the Infrastructure Renewal Program. It also was responsible for allotment of all state and federal funds and control of program costs through the issuance of project initiations and modifications and the approval of work orders.

The Federal Aid Section administered efforts to obtain Federal Highway Administration funds for the Department's Capital Highway Transportation Program. During fiscal year 1999, the Department was granted a total of \$505.2 million in Federal Highway Administration funds, and \$374 million was billed and reimbursed from various federal agencies through the efforts of the Federal Billing Section.

The Budget Services Division developed and managed the Transportation Fund budget, processed payrolls, and assisted the Department in the development of a new financial management information system. It provided monthly revenue and expenditure reports and projections of year-end balances.

Office of External Audits

The Office of External Audits performed 792 audits on projects valued at approximately \$130 million, with over \$2.5 million in adjustments made in favor of the state. In addition, 70 audits of Consulting Engineers' burden, fringe and overhead rates were performed on companies with a combined direct labor base of \$900 million.

Office of Information Systems

This office, through the coordinated efforts of the Divisions of Business Systems, Operations Systems, Policy and Development, Graphics Systems, and Systems Planning and Development, determines and implements Department policy and direction for information systems as related to the Department's Host Server, Local/Wide Area Network (LAN/WAN), telecommunication resources, technology training and technology support and services. The Department's Unisys Clearpath IX4403 Host Server system supports a network of 1,800 personal computer workstations that access data on the Host Server and peripheral equipment. The Department's mission-critical systems, including the Preconstruction Management System (PCMS), Construc-

tion Management Reporting (CMR) System, and Financial Management Information System (FMIS), are supported and maintained on the Host Server. A Unisys SMP5200/UNIX System is utilized for the Department's data entry function. The Department's Computer Aided Drafting and Design/Graphics and Geographic Information Systems are also managed and maintained by the office. These services support the business functions associated with transportation engineering, planning and design.

The Office of Information Systems supports and maintains a LAN/WAN consisting of approximately 1,800 workstations. The LAN/WAN provides efficient access to the Department's various repositories of data and serves as the communications platform for the development and implementation of new or reengineered departmental information systems. The network provides an effective communications link for the Department utilizing standardized word processing, electronic mail, spreadsheet and database software to provide enterprisewide connectivity. The Department's communications network also provides access to other state agencies and to the Federal Highway Administration. The Office also manages the Department's Internet Home Page and is responsible for maintaining existing and future development initiatives.

Bureau of Policy and Planning

The office of Policy and Planning is responsible for three major operating offices: Inventory and Forecasting, Intermodal Policy Planning, and Environmental Planning.

Office of Inventory and Forecasting

The Inventory and Data Unit supplies roadway traffic volumes, accident information and highway systems data associated with the 20,726 miles of state and local public roadways in Connecticut. These statistics are used to improve the safety of the highway system for the traveling public, for planning and engineering studies and for other purposes. In addition, a portable weigh-in-motion system and sensors implanted in roadways are used to collect information about the weight of the trucks using state roadways.

The Forecasting Unit develops the travel forecasting models and detailed travel statistics for transportation projects. The statistics are required to evaluate transportation alternatives, to conduct environmental reviews, and to move projects through planning, design and implementation. Travel forecasting and mobile source emission analysis were also conducted to comply with provisions of the Clean Air Act and TEA-21 regulations. In particular, analysis was conducted to determine Conformity of the Transportation Improvement Program and Long Range Transportation Plan to the State's air quality attainment plan (SIP). A study of the transportation demand and needs was completed for the I-95 corridor from Branford to the Rhode Island State line. In addition, in support of the State Traffic Commission (STC), the traffic from approximately 170 STC applications for new developments was reviewed. Geographic Information System (GIS) applications were developed to enhance the evaluation of transportation proposals and the understanding of existing transportation conditions. Work was also initiated on the development of the year 2000 GIS based State Tourist Map.

Office of Intermodal Policy Planning

The Highway Planning Unit completed the Hartford West Major Investment Study, which recommended a busway with 12 stations on railroad right of way between New Britain and Hartford, and the West Side Access Study in Hartford and West Hartford. Two Deficiency and Needs Studies along the I-84 corridor from Danbury to Newtown (Exits 1-11) and from Southbury to Waterbury (Exits 13-22) are being prepared. The Unit also prepared interstate access change requests for I-84 in Plainville, I-84 in Waterbury to Southington, I-91 in New Haven and I-95 in Waterford, and assisted Regional Planning Agencies on corridor studies for numerous state highways throughout the state.

The Unit processed over 125 requests by the public for release of excess DOT property, of which 30 percent were business related.

The Unit is also responsible for statewide bicycle planning. The Connecticut Bicycle and Pedestrian Plan was published, and several bicycle and pedestrian-related enhancement projects were designed and constructed. Several thousand state bicycle maps were distributed to the public free of charge.

The Goods Movement Unit is nearing completion of the Southwest Corridor Commodity Flow Study. Two interim reports have been produced to date. The first report described the

goals of the study and the public participation process undertaken to solicit input from the transportation community and interested public. Additionally, freight-related transportation issues in the corridor were identified. The second report detailed the data collection and analysis process that was utilized during the study.

Criteria for determining freight traffic flows that can be diverted have been developed. The Goods Movement Unit will be determining what the diversion potential is for the top 20 commodities moving into, out of, and through Connecticut.

The Transit Planning Unit continues its management of the state's network of 237 commuter parking facilities containing approximately 35,000 parking spaces. Various improvement projects continue, including repaving, restriping, repair of bus shelters, and construction for conformance with the Americans with Disabilities Act.

The Transit Planning Unit has undertaken two major projects this year. The Statewide Local Bus System Study will evaluate the performance, productivity and efficiency of the state's 22 local bus systems. The Eastern Connecticut Rail Study, which was recently completed, examined the feasibility of establishing commuter rail service in eastern Connecticut on the Providence & Worcester (P&W) line and the New England Central line.

The Airport Planning Unit provided direct support to the Bureau of Aviation and Ports in the areas of facilities planning, operational analysis and policy at state, municipal and private airports. This activity included review of third party proposals for airport development, as well as recommendations for the efficient use for existing facilities. The Unit also provided input to the concept development of the Oxford Airport safety area improvements and the Bradley International Airport terminal expansion.

The technical work on the Hartford-Brainard and Groton-New London Airport Master Plans has been completed. The Windham Airport Master Plan Update will be completed in July 1999.

The Field Coordination Unit worked closely with the Metropolitan and Regional Planning Organizations to obtain required local officials' endorsement of Transportation Improvement Programs. The Unit has had extensive involvement with the regional agencies' development and monitoring of regional Unified Work Programs and provided the liaison function between the Department and Regional Planning Agencies.

The Policy Unit has coordinated policies and procedures to ensure compliance with state and federal legislation and regulations. The federally mandated Long Range Transportation Plan (1998) and the state-mandated 1999 Master Transportation Plan were developed for distribution. Financial analyses were conducted to monitor capital expenses and project revenues and to maintain a record of transportation fund appropriations and actual expenditures. Federal Highway program reauthorization progress was monitored and various legislative proposals analyzed as to their impact on Connecticut's program.

The Unit also coordinated and assisted in the development of Regional Transportation Improvement Programs and the State Transportation Improvement Program (STIP). Several updates and amendments to the 1999 STIP were completed. The Unit continued its development of the draft 2000 STIP for public review and comment.

Office of Environmental Planning

The Office continued work on environmental documents and public involvement for numerous major transportation projects. These include Route 7 (Brookfield-New Milford), Route 7 (Norwalk-Wilton), Route 25 (Trumbull-Newtown), Interstate 95 over New Haven Harbor (New Haven), Routes 82/85/11 (Salem-Waterford), Route 6 (Bolton-Windham), Interstate 84 (Southington-Waterbury) and Routes 2/2A/32 in southeastern Connecticut. Approximately 13 Environmental Assessment documents have been reviewed or completed. Environmental Review forms were completed for approximately 148 projects last year.

Investigations have been conducted for inquiries regarding traffic noise barriers. Approximately 20 historic and archaeological documents have been processed. Approximately 50 requests for release of excess DOT property have been reviewed for environmental concerns.

Three indirect source air quality permits have been applied for, and two have been received for roadway projects. Coordination continues to be undertaken with the Federal Highway Administration, the Department of Environmental Protection (DEP), the Environmental Protection Agency and regional groups in addressing the requirements of the 1990 Clean Air Act Amendments and updated analysis procedures.

Regular inspections are made, and training is carried out, to ensure compliance with wetland permit conditions on construction projects. Monthly meetings continue to be held with the Corps of Engineers and DEP to discuss and obtain water resource permits. Eight DOT-made wetland creation/enhancement sites are monitored for continued success.

Approximately 81 wetland permit applications have been reviewed for other bureaus. Fifty-seven wetland delineation's and 36 functional assessments have been carried out on transportation projects.

Bureau of Public Transportation

The Bureau of Public Transportation's mission is to provide mobility to the residents of the state and to enhance economic development, access to jobs and the environment by providing safe, efficient, economical, and reliable transportation alternatives. The Bureau is responsible for providing project development, engineering, design project management, construction management, and fiscal and administrative services in support of public transportation, including rail freight operations, in the state of Connecticut. The Bureau is composed of three offices: the Office of Rail, the Office of Transit and Ridesharing, and the Office of Fiscal and Administration. Fiscal 1999 saw the Bureau complete a reorganization of its staff along intermodal lines, creating intermodal teams in the areas of transit planning, marketing and capital planning.

Office of Rail Operations

New Haven Line annual on-time performance was sustained at 96.4% despite intensive New Haven Line construction projects, including construction of the New Haven Interlocking, the Stamford Center Island Complex, catenary construction and numerous other infrastructure projects. A solid level of customer satisfaction was maintained as measured by annual rider-ship surveys.

To help meet the Governor's objective of reducing peak hour traffic congestion on I-95 and the Merritt Parkway, the Bureau completed comprehensive evening and improved reverse commutation service east of Stamford to relieve I-95 congestion. In addition, fares at Bridgeport were reduced and services increased, and a new "free" parking lot for commuters was opened. These improvements are expected to attract new riders and encourage intrastate travel.

The Office of Rail accomplished the following:

The New Haven Interlocking - Major reconfiguration of the tracks and signals to allow for improved commuter operations and for Northeast Corridor express trains; \$105 million project expected to be completed in 2002.

Peck Moveable Bridge Replacement - Opened all four tracks on the new Peck Moveable Bridge in Bridgeport, which replaced a 92-year-old structure with a trunnion bridge and viaduct which will provide safer and more efficient train operations, as well as improved vertical waterway clearances; \$140 million project.

Stamford Station Center Island Platforms - Initiated construction of additional island platforms to increase platform capacity and increase speed at which a train can board and deboard passengers simultaneously; \$125 million project, expected to be completed in 2001.

Continued annual track and bridge programs along the New Haven Line to maintain state of good repair.

Continued construction of the Connecticut Commuter Rail Shop - New Maintenance Facility to insure the necessary inspections and repairs to the Shore Line East and other diesel powered passenger fleets; \$25 million project.

Awarded federal funds necessary to begin construction of Phase I of the Main Line Catenary Replacement Project along the New Haven Main Line; \$300 million program scheduled to be completed in 2008.

Awarded federal funds necessary to begin rehabilitation or replacement of six New Haven Line Bridges in the towns of Stamford, Redding, Norwalk and Greenwich; \$26 million project.

Awarded federal funds necessary to begin the electrical substation upgrade and new substation construction in New Haven to insure efficient and safe train operations along the New Haven Line; \$9.5 million project.

Awarded federal funds necessary to begin the implementation of the next phase of the concrete tie replacement project. Long-term savings will be achieved by this installation with double the life expectancy of a wood tie. This program will be phased in over ten years, with an estimated cost of \$110 million.

Awarded federal funds necessary to begin the construction of the Danbury branch centralized traffic control system. The new system will allow for more efficient train operations with the installation of passing sidings and interlockings; \$12.5 million project.

In addition, there were numerous other smaller projects implemented and completed which support the goal of improved passenger rail operations in the state. Finally, there were a variety of other grants and programs which support the state's goal of improving and strengthening the operation of the short-haul freight railroads in Connecticut.

Property Management

The Rail Property Management unit entered into a new joint development and partnership agreement for a fiber optic communications system for the railroad on the New Haven Main Line. The Agreement between the Department of Transportation and Teleport Communications Group (TCG) grants TCG a non-exclusive license to construct, utilize, repair and maintain a communications system containing one fiber optic cable (consisting of 216 fiber strands) within the right-of-way of the New Haven Main Line from the New York state border to New Haven. In return for this right to utilize the state's railroad right-of-way, the state and Metro-North have the exclusive use of twelve (12) fiber strands and eleven (11) splice points connecting to all extensions and parts of the system, thereby saving the state approximately \$6,000,000 in capital improvement costs.

Rail Station Parking

To improve the use of rail transportation, the Bureau of Public Transportation added the following rail station parking expansions.

1) West Redding Station:

Cost: \$150,000

Generated 50 additional parking spaces.

2) Milford Station:

Cost: \$320,000 Federal CMAQ Program (Clean Air Act)

Generated 55 additional parking spaces.

3) Stratford Station:

Cost: \$400,000 Federal CMAQ Program (Clean Air Act)

Generated 65 additional parking spaces.

4) Bridgeport at Harbor Yard:

Cost: \$1 million

Generated 800 additional parking spaces

The Bureau of Public Transportation also made substantial improvements at rail stations in New Haven, Bridgeport, Stamford, Fairfield, Westport and New Canaan to meet requirements of the Americans with Disabilities Act.

Operation Life Saver

Operation Lifesaver is a national non-profit public information program dedicated to improving public safety by reducing the number of injuries and fatalities associated with at-grade railroad crossing crashes and incidents of railroad trespass. In 1992, under the authority of Section 13b-376(a) of the Connecticut General Statutes, Connecticut joined ranks with 49 other states by establishing a Connecticut Operation Lifesaver Committee to promote the program on a local level.

During the period July 1, 1998 through June 30, 1999, the Operation Lifesaver message was delivered by certified presenters at 277 presentations and safety information booths and reached approximately 508,736 people in the state of Connecticut, including transportation industry personnel, school bus drivers, school children and other members of the general public.

Office of Transit and Ridesharing

This Office accomplished the following:

Assisted five regional partnerships, consisting of regional work force development boards, regional planning agencies, transit districts, job developers, and other state agencies, on the development of transportation services to employment and related activities for welfare recipients and low-income workers.

Prepared a statewide competitive grant application to the Federal Transit Administration (FTA) for \$3.5 million for new job access transportation services. The FTA approved the grant in the amount of \$2.985 million.

Began "Statewide Bus Operations" and "Bus Transit Management, Governance and Finance" Studies. The Bus Operations Study will examine efficiency and effectiveness of bus services throughout the state and recommend changes to address changing travel needs. The Management, Governance and Funding Study will examine alternatives for performance-based funding of transit and present alternative governance structures for management of transit services.

Bus Rapid Transit – Applied for and received a federal grant through a demonstration program for staff to aid the implementation of a new dedicated busway to be constructed from downtown New Britain to Union Station in Hartford.

At the request of the four towns of the Greater Bridgeport Transit District, the state provided professional management while a new Authority was formed and was able to hire a permanent general manager. State oversight assisted the Authority in improving operations and ending the fiscal year with a significant surplus.

Transit Operations Unit

In SFY 1999 the Unit awarded State Operating Assistance Grants in the amounts of:

\$38,663,997 to Private Operators for the provision of CTTransit urban bus service in eight areas; \$12,547,881 to Urban Transit Districts for the provision of fixed route service; \$7,300,617 to Urban and Rural Transit Districts to comply with the provisions of Americans With Disabilities Act (ADA); \$209,017 to Urban Transit Districts for the provision of shuttle service; \$2,189,952 to Urban Transit Districts for the provision of paratransit service; \$67,320 to Greater Bridgeport Transit Authority for the ADA recertification program; \$584,904 in state grants and \$789,889 in federal grants to Rural Transit Districts for the provision of transit services in non-urbanized areas; \$325,000 for the Statewide Drug and Alcohol Program; \$1,950,000 for the Statewide Insurance Consortium; \$1,310,237 to private operators for the provision of commuter bus service; and \$1,027,831 to private operators for the provision of ADA paratransit service.

This Unit also:

Awarded \$4.8 million dollars to ridesharing brokerages to support transportation programs that reduce traffic congestion and improve air quality.

Wrote regulations and initiated the \$1.5 million traffic reduction tax credit program.

Provided partial funding for 80 alternatively fueled vehicles used by municipalities and operators of vehicles used in public transportation service.

Approved funding for an additional 40 vehicles.

Regulatory and Compliance Unit

The Regulatory and Compliance Unit oversaw 13 operating railroads, 112 licensed household goods transporters, 90 taxicab certificate holders, 353 livery permit holders and ten regular route motor bus companies.

Intermodal Transit Planning Unit

This Unit accomplished the following:

Issued request for proposals for a "Connecticut Rail Station Governance" study, to determine if a change can or should be made in how Connecticut's commuter rail stations and parking facilities are managed and operated.

Developed an information package and conducted public hearings for a proposed August 1999 fare increase for the New Haven Rail Line. Legislative action increased the rail operating budget, resulting in the cancellation of the fare increase.

Assisted in the development of the "Maintenance and Protection of Traffic Plan" for the Pearl Harbor Memorial "Q" Bridge. The plan includes improvements to bus and Shore Line East (SLE) service and expansion of the SLE stations to both sides of the tracks with expanded parking.

Continued efforts to create a joint development project among the city of Fairfield, the Department of Transportation and private developers for the creation of a new rail station in Fairfield that could include 1,000 new parking spaces.

Under the 5310 (formerly Section 16) Program, provided \$660,000 in assistance to suppli-

ers of transportation for the elderly and the disabled, resulting in the delivery of 22 vehicles. Grants totaling \$690,000 have also been awarded which will allow for the purchase of 23 vehicles in SFY 2000. The Department of Transportation provides 20% of the funds, and the Federal Transit Administration provides 80%.

Developed a new draft 5310 Program Management Plan reflecting the latest federal regulations.

Continued to participate in the ticket vending machine project for the New Haven Line. A prototype was approved and production has begun. Installation will begin next fiscal year.

Intermodal Capital Planning Unit

This Unit accomplished the following:

Maintained a financially balanced Transit Capital Plan (TCP) that fully programs all federal and state funds.

Formalized procedures for the development of a joint Connecticut Department of Transportation/Metro-North Railroad Five-Year New Haven Line Capital Program.

Rail Projects

Executed a \$28 million agreement with Amtrak for funds to improve track #2 on the New Haven Main Line from Greenwich to Milford. Improvements include welded rail, concrete ties, high-speed crossovers and curve modifications. This project is scheduled to be completed in 2001.

Applied for federal funds to begin construction of the New Haven Line car storage yard. This project consists of the construction of a car storage area in the New Haven rail yard for approximately 100 rail cars. The project includes building demolition, utility installations and a yard signal system. This is a \$55 million project scheduled for completion in June 2003.

Applied for federal funds to begin the replacement of Depot Road and Rock Lane rail bridges on the New Haven Rail Line in Milford. This is a \$4.0 million project scheduled for completion in June 2001.

Awarded additional federal funds in the amount of \$7.2 million for the New Haven Line interlocking project in order to continue construction. This is included in the total project cost of \$116 million. This project is scheduled for completion in 2002.

Awarded additional federal funds in the amount of \$16.083 million for the Stamford center island platform project in order to continue construction. This is included in the total project cost of \$125 million. This project is scheduled for completion in 2001.

In conjunction with its Rail Preservation and Improvement Program, the Department of Transportation solicited capital and accelerated maintenance projects from the state's rail freight companies. Funds will be awarded on a 70 percent federal/30 percent state basis to effect those projects determined by the Department to be the most cost effective. The total amount of funds budgeted for this program is \$700,000.

Bus Projects

Selected a "preferred site" in Hamden to construct the new administrative, maintenance and bus storage facility for the CTTRANSIT New Haven Division. This project is estimated to cost \$40 million and is scheduled for completion in 2004.

Began design of the expansion and renovation of the CTTRANSIT Stamford Division bus facility. This project is estimated to cost \$11 million and is scheduled for completion in 2001.

Selected a "preferred site" in Watertown to construct a new administrative, maintenance and bus storage facility for the Waterbury bus service. This project is estimated to cost \$19.6 million and is scheduled for completion in 2004.

Participated in discussions with the Southeast Area Transit District and the Mashantucket Pequot Tribal Nation regarding expanding bus service in southeastern Connecticut and expanding the SEAT maintenance facility.

Provided the 20% non-federal share for the new Milford Transit District Bus Maintenance Facility in Milford. This project is estimated to cost \$3.6 million and is scheduled for completion in October 1999.

Provided the 20% non-federal share for the new Norwalk Transit District bus maintenance facility in Norwalk. This project is estimated to cost \$10 million and is scheduled for comple-

tion in 2001.

Production began for the purchase of 14 Small, Heavy-Duty, Low-Floor Buses to complement CTTRANSIT's fixed route service with flexible services such as suburb-to-suburb travel and circulator routes in certain neighborhoods and commercial areas. This project is estimated to cost \$3.7 million, with buses scheduled for delivery in July and August 1999.

Completed the specification for the replacement of 26 buses for the Stamford division of CTTRANSIT. This bus purchase will consist of sixteen 40-foot and ten 35-foot low-floor diesel powered buses. This project is estimated to cost \$8 million and is scheduled to go out to bid in August 1999.

Submitted a Grant Application to the Federal Transit Administration for the Environmental Impact Study (EIS) for the Hartford West Bus Rapid Transit System. The EIS is estimated to cost \$1.9 million and is scheduled for completion by July 2000.

Intermodal Marketing Unit

This Unit accomplished the following:

Implemented a Public Transit Marketing Program that coordinates marketing activities for all transit services to increase public awareness and usage of public transportation services throughout Connecticut.

Initiated a marketing campaign for the new, 750-space rail parking lot at Bridgeport's Harbor Yard Stadium adjacent to the train station. The program included highway billboards, advertisements at Harbor Yard Stadium, brochures, and radio and newspaper ads.

Initiated planning for Try Transit Week 99, which will be held in September. The campaign will focus on heightening general awareness of the state's public transit assets.

Established a Station Amenities Committee to survey all rail stations along both the Shore Line East and New Haven Lines (including New Haven Line branch lines) to determine the best use of space and the placement of various amenities within the stations and on platforms, such as newspaper machines, racks for schedule information, ticket vending machines, platform shelters and kiosks.

A marketing consultant, FJC & N from Salt Lake City, Utah, has been chosen to assist the Marketing Unit with various aspects of a transit marketing program to promote travel alternatives to single-occupant vehicles. Activities will include the development and production of creative advertising, media buys, a general public relations program, research initiatives and a strategic direction to guide all future marketing and communications.

Commuter Connection bus stop signs were designed, produced, and delivered to transit providers in Greenwich, Norwalk, Stamford and New Haven to improve customer awareness of bus stop locations at railroad stations where rail/bus transfers are made.

Improvements/Achievements 1998-99

The Office of Fiscal and Administration has:

- coordinated the Bureau's training for access to and use of the Transportation Electronic Award and Management (TEAM), FTA's automated system for grant activity.
- procured federal operating assistance totaling \$3.1 million.
- electronically processed 21 projects totaling \$81,595,730 federal share utilizing the TEAM System.
- facilitated actions in updating the Bureau Procedures Manual.

Code of Fair Practices - The Bureau of Public Transportation continues to progress positively in its Code of Fair Practices activities. Working closely with the Affirmative Action Office, the Bureau has been able to recognize and address areas of under utilization of protected classes within its units. All managers involved in the hiring process in Fiscal Year 1999 have been aware of the Bureau's commitment to promote and hire protected classes.

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Office of the Treasurer

At a Glance

DENISE L. NAPPIER, *State Treasurer*
Howard G. Rifkin,

Deputy State Treasurer

Established - 1639

Statutory authority - State Constitution

*Central office - 55 Elm Street,
 Hartford, CT 06106*

*Average number of full-time
 employees - 163*

Recurring operating expenses -

General Fund - 2,938,879.43

Bond Funds - 6,099,560.77

Investment Funds - 41,987,563.60

Second Injury Fund - 7,792,435.33

Unclaimed Property

Fund- 2,022,764.62

Short-Term Investment

Fund - 794,522.08

Capital outlay -

General Fund - 4,700.00

Investment Funds - 13,171.44

Second Injury Fund - 26,199.49

Unclaimed Property

Fund - 31,026.87

Short-Term Investment

Fund - 2,673.74

Total Abandoned Property

Receipts - 44,472,037.16

Amount Returned to

Owners - 8,951,782.60

*Organizational structure - Executive
 Office, Cash Management Division,
 Debt Management Division, Pension
 Funds Management Division, Second
 Injury Fund Division, Unclaimed Prop-
 erty Division.*

Mission

*To serve as the premier Treasurer's
 Office in the nation through effective
 financial management of public re-
 sources, high standards of profession-
 alism and integrity, and expansion of
 opportunity for the citizens and busi-
 nesses of Connecticut.*

Statutory Responsibility

The Office of the Treasurer (OTT) was established following the adoption of the Fundamental Orders of Connecticut in 1638. The duties, as described in Article Fourth, Section 22 of the Connecticut Constitution State, the Treasurer shall receive all funds belonging to the State and disburse the same only as may be directed by law.

The Treasurer is the Chief Fiscal Officer for State government, overseeing a wide variety of activities regarding the prudent conservation and management of State funds. This includes the administration of a portfolio of pension assets worth approximately \$20 billion and a short-term investment fund with an average daily balance of almost \$4 billion.

Denise L. Nappier, was sworn in as the 82nd State Treasurer on January 6, 1999. Treasurer Nappier is the first African-American woman elected to serve as State Treasurer in the United States, the first African-American woman elected to a statewide office in Connecticut, and the first woman elected Treasurer in state history.

Information Reported as Required by State Statute

Affirmative Action

The Treasurer's Office monitors and implements the State's investment policies in compliance with public acts. Also, in compliance with Connecticut General Statutes Section 46a-78, the Treasurer annually submits an affirmative action program to the State Commission on Human Rights and Opportunities. The Office pledges to make every good-faith effort to achieve all objectives, goals and timetables in its affirmative action plan. Contracts, leases and purchase orders by the Treasurer's Office contain clauses requiring non-discrimination and vendors are required to certify the same.

Public Service

The Office of the Treasurer features an Executive Office as well as five distinct divisions, each with specific responsibilities: Cash Management, Debt Management, Second Injury Fund Division, Pension Fund Management Division, and Unclaimed Property Division.

Executive Office of the Treasurer

The Executive Office is responsible for overall policy, planning and general administration designed to: (1) enhance the financial integrity and soundness of Treasury operations, (2) provide overall direction and leadership in carrying out Treasury functions and (3) foster economic well-being of the state and its citizens and businesses within the confines of fiduciary standards. Specific activities include legislative affairs and public information, responsible investment relations, management services, legal services and community outreach.

The main objective of the Executive Office is to ensure that the Treasury adheres to the highest order of public values, fiscal prudence and ethics in the conduct of the people's business.

Cash Management Division

This division is responsible for cash accounting and reporting, cash forecasting, short-term investing and bank account administration.

The mission of this division is to prudently manage cash on behalf of state agencies, authorities, and municipal governments, and to make investments that will maximize the amount of funds available to meet the daily cash needs and increase the amount available for investment.

Debt Management Division

This division issues bonds to finance the State's capital projects, including state buildings, the University of Connecticut and State University facilities, transportation infrastructure, housing and economic development projects, local public schools and capital grants and loans to local units of government. The division manages debt service payments and cash flow borrowing, and administers the Clean Water and Drinking Water loan programs.

The mission of the division is to meet the State's financing requirements in a timely fashion at the lowest possible cost to the taxpayers.

Unclaimed Property Division

This division is responsible for safeguarding assets, tangible and intangible, where rightful owners cannot be found. The mission of the division is to ensure that holders of unclaimed property file in a timely manner with the State and to locate rightful owners of unclaimed property and returns their assets to them.

Pension Funds Management Division

This division has responsibility for the day-to-day management of retirement funds of 160,000 pension plan participants and beneficiaries, as well as the assets of several trust funds. The division formulates and recommends investment guidelines and procedures for the Connecticut Retirement Plans and Trust Funds (CRPTF), monitors manager performance, coordinates the selection of investment advisors and performs investment accounting. The division manages funds for five retirement plans and trust funds: teachers, State employees, municipal employees, judges and probate court employees. The funds include a variety of equity, fixed-income and alternative investments (which include real estate and private equity).

The division also serves as staff for the Investment Advisory Council (IAC), which is statu-

torily responsible (Public Act 73-594) for periodically reviewing the State's investment allocation plan and advising the Treasurer on policy.

The mission of the division is to help meet the state's obligation as a pension plan sponsor to current employees and retirees by safeguarding and growing the assets of the retirement system.

Second Injury Fund (SIF) Division

The Second Injury Fund is a workers' compensation insurance fund established with the mission of discouraging discriminatory hiring practices and encouraging the assimilation of disabled workers into the workforce. Employers transfer liability for workers' compensation claims to the Fund if certain criteria are met under the Connecticut Workers' Compensation Act. SIF maintains general oversight of the claims analysis and management functions, fraud investigations, return-to-work, accounting, collections and litigation. By legislative act, the Fund has now been closed to new claims arising out of a second injury. The fund is currently managing approximately 4600 cases, with projections for a decreasing case load over the next several years.

The mission of the division is to return workers to meaningful employment, thereby contributing to the vitality of our economy.

Improvements/Achievements 1998-99

Individual Development Account Task Force

As part of the Treasurer's goal to expand economic opportunities for Connecticut working families, Treasurer Nappier convened a statewide Task Force in May 1999. The mission of the Task Force is to expand opportunities for low income families to save for home purchases, business development, education and job training through matched savings accounts known as Individual Development Accounts (IDAs). The Task Force efforts are predicated upon the belief that low-income families can save and accumulate assets which will afford them the opportunity to be economically self-sufficient.

Pension Funds Management Division

As of June 30, 1999, the PFM division had \$19.8 billion in assets under management — the highest year-end balance in the state's history — and achieved a return in excess of 10.8%, placing the pension fund in the top 50 of State plans nationally.

Cash Management Division

- Achieved an annual return of 5.37% in the Short-Term Investment Fund (STIF), earning an additional \$12 million in interest income for Connecticut's governments and their taxpayers.
- Invested \$54 million, as part of the Community Reinvestment Initiative, in local banks that have outstanding Community Reinvestment Act (CRA) ratings or participate in Connecticut Development Authority programs.
- Initiated a pilot program to allow municipalities to make debt service payments directly from their STIF accounts.
- Streamlined data entry and reconciliation activities with the Comptroller's office and commenced operation of a new system for electronically transmitting bank data to agencies to improve the ease and accuracy of their reporting of bank deposits to the Treasurer's Office.

Debt Management Division

This year has featured a number of historic firsts and noteworthy actions in the Debt Management Division. The division:

- Refinanced \$199.4 million in bonds, resulting in \$5.1 million in savings to Connecticut taxpayers, and used state surplus funds to pay off \$59 million of state guaranteed nursing home bonds that will result in total debt service savings of \$132.4 million over the remaining 25 year life of the bonds that were paid off.
- Conducted a highly successful sale of University of Connecticut bonds, which were so popular that they were sold out just through retail sales. This was the first time in Connecticut history that bonds sold out through retail sales.

- Participated in a successful effort to obtain an upgrade of the state's General Obligation Bonds from AA- to AA from Standards & Poors.
- Issued the first loans under the new Drinking Water program to local water systems, preserving the state's federal allocation for the program.
- Conducted, at the direction of Treasurer Nappier, the largest competitive bond sale (\$300 million) that the State has ever done, achieving a very attractive interest cost for the twenty-year issue.

Second Injury Fund Division

The Second Injury Fund saw solid achievement and critical actions taken during the year. A thorough staff review conducted at Treasurer Nappier's initiative revealed severe looming shortfalls in the fund attributable to a lack of proper fiscal planning by the previous administration. The repayment of principal and interest on bonds was apparently never factored into the administrative costs of running the state-sponsored insurance program for injured workers. The problem was worsened when assessment rates were reduced, with no apparent basis, three times during 1998 — in effect laying the groundwork for an ever-widening fund shortfall beginning in Fiscal Year 2001. In response to these findings, Treasurer Nappier:

- Ordered a complete fiscal audit of the fund
- Established a Blue Ribbon Commission made up of actuarial, fiscal and insurance experts to oversee the work of the audit team
- Appointed a Comptroller of the Second Injury Fund to oversee the division's accounting functions

Additional actions taken by the Second Injury Fund Division during the year include:

- Final settlements were negotiated on 1,007 claims, resulting in a reduction in the unfunded liability of the Fund by \$400,897,000 or 32.2%. The result is that as of July 1, 1999, the estimated unfunded liability is \$841,103,000, compared with \$1,242,000,000 a year earlier.
- Furthermore, during the Fiscal Year ending June 30, 1999, lost time payments to injured workers (biweekly payroll) were reduced \$224,197 or 24%, because of the policy to prioritize final settlements.

Unclaimed Property Division

This area within the Treasurer's Office was given division status in order to expedite the return of assets to rightful owners. During the 1998-9 fiscal year, the division returned a record of \$10 million to Connecticut citizens.

Reducing Waste

Cash Management

The Cash Management Division maximized investment balances by speeding deposits, controlling disbursements, minimizing bank fees and compensating balances by providing accurate cash balances to its clients. For example, the division recaptured over \$400,000 in annualized bank overcharges.

Debt Management

To reduce interest rate risk, the Division converted a variable rate taxable issue to fixed rate bonds, taking advantage of the favorable relationship of long-term bond rates to short-term rates. To reduce administrative costs, the division terminated a swap option that was to have been exercised in 1998, combining the termination with a fixed rate refunding for additional savings.

Pension Funds Management

The Pension Funds Management Division, at the direction of Treasurer Nappier, initiated a comprehensive asset/liability study, including a review of asset allocation policies and procedures, and strengthened the management of private equity funds and monitoring of external managers. The Division has also sought to reduce the Funds exposure in specific asset allocation classes and continues aggressive supervision of outside money managers against established benchmarks. Outside pension managers receive a substantial portion of their fees based

upon performance, motivating them to provide superior returns to retirees within acceptable levels of risk.

Second Injury Fund

The SIF implemented an early return-to-work program that involved medical case management and job re-training. The hiring of a full time coordinator of this program has resulted in over seventy individuals being provided with employment opportunities during the past year. The SIF continues to work closely with the State's Attorney's office in the investigation and prosecution of claimants alleged to be fraudulently receiving benefits from the fund. During 1998-99, the SIF made \$24,838,713.15 in excess reserves available to pay off commercial paper (\$15,000,000) and stipulated settlements (\$98,838,713.15) thereby allowing Debt Management to issue less long-term debt, and saving Connecticut employers money.

Unclaimed Property Division

The Division completed an inventory of all securities and mutual funds and will now be able to price these securities electronically. Many of the stocks are eligible to be inventoried with the Depository Trust Company, and will be registered in "street name" to reduce customer claim response time and insure timely posting of all dividends and corporate action.

Strategic Planning

The Nappier Administration has begun to establish goals and priorities and to develop policies and practices that will: 1) ensure oversight, review and accountability in all aspects of Treasury management while promoting professionalism and integrity;

2) protect and grow the assets of the Pension Funds and advocate for more disciplined borrowing policies; 3) support equal economic and investment education opportunities for all of Connecticut's citizens; 4) act as a catalyst to promote economic growth, particularly in our urban and rural areas and 5) work to enhance individual finance education throughout our state

The newly-established Policy Unit within the Executive Office of the Treasury will be instrumental in the development and implementation of many of these policies. For example, the Unit is in the process of building the capability to oversee corporate governance and accountability issues as a shareholder in over 2,000 corporations and as part of the Treasurers responsibility as sole fiduciary of the Pension Funds. Other policy initiatives continue in the development stages, including:

- A statewide Task Force is working to find ways to promote and expand the use of Individual Development Accounts. These are matched savings accounts that afford working poor families the opportunity to save for a home, a business, job training and education. Asset building is a way these families can aspire to benefit from our growing economy and achieve economic security.
 - A Treasury working group is looking at ways to expand opportunities for Connecticut-owned, women owned and minority businesses to do work for the Treasury.
 - A working group is also looking at ways to improve the funding ratio of the State Employees Pension Fund to avoid very large payments into the Fund by Connecticut taxpayers in the future.
 - A series of education initiatives are underway, including, promotion and expansion of the Connecticut Higher Education Trust program; the development of a statewide conference targeted for women and minorities to promote financial literacy and savings; and an annual conference for beneficiaries of the state's Pension Funds.
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University of Connecticut

At a Glance

PHILIP E. AUSTIN, *President*
Mark A. Emmert,
Chancellor for University Affairs
Leslie S. Cutler,
Chancellor for Health Affairs
Established - 1881
Statutory authority - CGS Chapter 185b
Central office - Route 195,
Storrs, CT 06269
Number of full-time employees - 3,756
and 3,007(Health Center)
Recurring operating expenses -
\$481,386,008 + \$392,141,745
(Health Center)
Organizational structure - Public State
University



Mission

Founded in 1881, the University of Connecticut serves as the flagship for higher education and the sole doctoral degree granting public institution in the state. The University serves as a center for research, dedicated to excellence in higher education and fulfillment of its land grant status. It is committed to meeting the educational needs of its undergraduate, graduate, professional and continuing education students and providing the faculty with the means to develop their intellectual capacity through teaching, research and interaction with society. Through the integration of teaching, research and service, the University provides an outstanding educational experience for each student.

The University will serve the state and its citizens in a manner that enhances the social and economic well-being of its communities. It will do so by providing leadership in the pursuit and dissemination of knowledge to all its constituents, recognizing that the continual transmission of knowledge and lifelong learning are essential to Connecticut's future in a global context. It will seek to enhance the quality of life and the economic well-being of Connecticut.

Statutory Responsibility

The General Statutes of the State of Connecticut and the Morrill Act of the U.S. Congress have charged the University of Connecticut with the responsibility for the education of Connecticut youth in scientific and classical studies, agriculture and mechanic arts and liberal and practical education. General Statutes have given it "exclusive authority for programs leading to doctoral degrees and post-baccalaureate professional degrees." The University's constitutional mandate, "excellence in higher education," is accomplished in its traditional triad of academic responsibilities: teaching, research and service.

Public Service

Central to the University's mission as a land-grant institution, and critical to the establishment of a strong resource base for the enhancement of teaching and research, is the University's relationships with major economic interests of the state. Connecticut Innovations Inc., a quasi-state agency that helps foster technology transfer from universities to commercial applications,

awarded \$1 million in grants to six University research projects because of their strong potential to yield products or processes that will contribute to long-term economic growth in Connecticut. The projects include animal sciences research with Alexion Pharmaceuticals of New Haven, chemical engineering research with Rogers Corporation of Rogers, biotechnology research with Connecticut Aquaculture Inc. of Willimantic and Sea Free Fish Company of North Grosvenordale, electrical and systems engineering research with E-Lite Technologies of Stratford, plant science research with Imperial Nurseries Inc. of Granby, and plant science research with Sunny Border Nursery Inc. of Kensington, Clark's Greenhouse and Nursery of Salem, Imperial Nurseries Inc. of Granby and Just for Starters of Eastford.

Rogers Corporation donated \$100,000 to the Institute of Materials Science for new laboratory research instrumentation for a planned addition to the Institute. The Corporation and the Institute have had a 25-year partnership in collaborative efforts to improve advanced materials research and education.

The University celebrated its first decade as a Sea Grant College, a designation from the U.S. Department of Commerce earned by significant accomplishments in marine and coastal research, outreach and education. The College is based at the Avery Point Campus and sponsors activities at 12 academic institutions and three aquariums in the state.

The Non-point Education for Municipal Education (NEMO) Project received an award from the National Environmental Education and Training Foundation. The foundation identifies programs throughout the nation that provide innovative educational solutions to environmental problems. NEMO is a joint Sea Grant/Cooperative Extension System project that links town halls with computer and satellite-derived technology to analyze water quality.

The U.S. Department of Education renewed funding for the Center for International Business Education and Research in the School of Business Administration, one of only 28 universities in the country and the only New England university to receive the designation. The School of Business Administration also was awarded a \$1.4 million grant to provide MBA level courses for the U.S. Department of Defense's non-military senior managers.

In the Division of Extended and Continuing Education, the Community School of the Arts increased enrollment by 45 percent to 2,606, and the Center for Economic Education increased enrollment by 11 percent to 3,917. Both of these programs serve the general public as well as the University community.

The Connecticut State Employees' Campaign for Public Giving raised \$94,783 from University employees.

Improvements/Achievements 1998-99

The University continued to make great strides in renewing, enhancing and rebuilding the physical infrastructure on its campuses with the state's investment in UCONN 2000. The \$1 billion, ten-year program enabled by the General Assembly's Public Act 95-230, included the following accomplishments in 1998-99: a new 199,000-square-foot Chemistry Building with state-of-the-art classrooms and laboratory space, a resource and learning center, and faculty and administrative offices; new South Campus dormitories to house nearly 700 students; a new dining and meeting facility in South Campus to serve meals to 1,500 students and housing an after-hours deli and computer, community, game, meeting and banquet rooms; the Academic Way, the new pedestrian mall that winds through center campus; and a new enclosed Ice Arena with a 200-by-85-foot skating rink, 1,700 seats, locker rooms and offices. A new shuttle bus loop through the center of Storrs campus increased student, faculty and staff access to key University facilities.

The following were being constructed or renovated with UConn 2000 funds: an expanded and renovated Fine Arts Complex; a new Physics/Biology Building; a new Agricultural Biotechnology Building; and conversion of an existing building into a centralized student service center. At the Avery Point Campus, a new Marine Sciences Institute was under construction.

The University's new research vessel, the R/V Connecticut, arrived in Groton for undergraduate and graduate education, for funded research projects, and for regional service to other educational, research and governmental organizations. The 76-foot vessel is funded through a \$1.5 million grant from Connecticut Innovations Inc., with additional support from the University.

The renovated Homer Babbidge Library was rededicated in October. A new exterior was the

result of a decade of reconstruction by the state Department of Public Works, and an enhanced and restructured interior was accomplished with UCONN 2000 funds. The library includes a new 24-hour study room with mainframe terminals for e-mail, a Bookworm Café serving coffee and pastry, a Cyber Café with interconnected workstations, and video rooms and conference facilities.

The UConn Health Center dedicated an 11-story Academic Research Building in April. The 167,000 square-foot building is for biomedical research and expands laboratory space at the Health Center by more than 40 percent. Each floor is designated for a specific scientific enterprise and includes 128 state-of-the-art basic science laboratories designed with input from research faculty to ensure efficiency and flexibility. The new Building also houses the John G. Rowland Center for Biosciences.

New role and scope statements were developed and approved for the regional campuses. A Tri-Campus, combining the approximately 2,000 students and 60 full-time faculty at the Hartford, Torrington, and Waterbury campuses, was established to streamline administrative operations and to begin offering four-year degree programs. The new programs emphasize the humanities and social sciences, with selected science and technology offerings. Many of the majors, such as the new bachelor's degree program in Urban Studies, are interrelated and with a focus on urban areas and public policy. The Tri-Campus continues to offer lower division core curriculum courses for students who wish to complete their degree at Storrs or another campus.

In Fall 1998, 21,901 students were enrolled in degree credit programs in the 13 Schools and Colleges at the Storrs Campus, the regional campuses (Avery Point, Hartford, Stamford, Torrington, and Waterbury), the Schools of Law and Social Work in Hartford, and the Schools of Medicine, Dental Medicine, and graduate programs at the Health Center in Farmington. In 1998-99, the University conferred a total of 4,571 bachelor's, master's, doctoral, law, medicine and dental medicine degrees.

The fifth edition of *Barron's Best Buys in College Education* listed the University among the 280 best buys in college education. *Barron's* cited the University's excellent faculty, affordable cost, and campus atmosphere in making the selection.

The Schools of Law and Education ranked among the top 50 graduate schools in the nation and are the best public schools in New England, according to the *U.S. News and World Report*. The School of Law was ranked 40th and the School of Education was ranked 46th in the nation.

The School of Engineering was ranked 26th among engineering schools at public universities in terms of externally-funded research expenditures, according to the National Science Foundation.

Students attending the School of Dental Medicine placed second in a national test of all dental students. During the past 10 years, the School has consistently been in the top three schools nationally in students' scores on Part I of the National Board Dental Examinations.

The School of Social Work celebrated its 50th anniversary with an open house, faculty seminars, a colloquium of former deans, a luncheon marking 30 years of the school's Black Student Organization, and honors and awards to outstanding alumni. The School is the state's largest professional school of social work and has more than 4,000 alumni.

A new doctoral program in natural resources management received state approval. The School of Nursing conferred its first doctoral degree. The doctoral nursing program, one of five in New England, began admitting students in 1994. Three new Bachelor of Science in Engineering degree programs were established in the School of Engineering: Environmental Engineering, Metallurgy and Materials Engineering, and Computer Engineering. The University is the first public university in New England to offer undergraduate degree programs in environmental and metallurgy/materials engineering.

Animal science faculty and researchers became the first in the United States to produce a large animal clone from genetic material extracted from an adult farm animal. Amy, a Holstein heifer, was born in June at the University's Transgenic Animal Facility and represents the first successfully cloned animal from non-reproductive related cells.

The National Institutes of Health awarded two grants to the University Health Center to extend and expand patient-centered research into the 21st century. A \$4 million grant to develop "The Virtual Cell" was given to the Center for Biomedical Imaging Technology. It will underwrite development of a computer system allowing scientists to model the inner workings

of cells and to more efficiently design experiments on cells. The Center also received the designation National Biomedical Technology Resource in recognition that it is one of 60 such resources in the country, and the only one in Connecticut. A \$9 million grant renewed support for the Lowell P. Weicker Jr. General Clinical Research Center for another five years. The Weicker Center has supported clinical research programs investigating alcohol and substance abuse, osteoporosis, bone metabolism, smoking cessation, prostate enlargement and prostate cancer, tick-borne diseases and glaucoma.

Each year many individuals in the University community receive national recognition for their scholarly and research accomplishments. Illustrative recent examples follow:

Leslie S. Cutler, Chancellor and Provost for Health Affairs at the UConn Health Center, was elected to the board of directors of the Association of Academic Health Centers. The Association is a national, nonprofit organization representing more than 100 health complexes at major universities.

Mark Brand, an associate professor of plant science, introduced six new cold hardy varieties of large-leaf rhododendrons. The new colorful players in the rhododendron arena are part of his "Raise the Roof" series: "Huskymania," "Tip Off," "Buzzer Beater," "March Madness," "Hoopla" and "Slam Dunk."

Frank Costigliola, a professor of history and an expert in U.S. foreign relations, spent a semester as a fellow at the Norwegian Nobel Institute. He was one of nine scholars selected from an international competition of more than 300 applicants.

Bernard Magubane, an emeritus professor of anthropology, received an award for outstanding service from President Nelson Mandela of South Africa. Dr. Magubane is internationally acclaimed for his analyses of race and class, the political economy of South Africa, and connections between African Americans and Africa.

Steven C. Maxson, professor of psychology and biobehavioral sciences, was honored with a lifetime achievement award for his work on the Y chromosome and aggression in mice. He received the Dobzhansky Award from the Behavior Genetics Association, an international scientific society.

Edward C. Monahan, director of the Connecticut Sea Grant Program and a professor of marine sciences, was elected as a Fellow of the Acoustical Society of America, the premier international society in acoustics. Dr. Monahan's research has focused on the contribution of bubbles to acoustic reverberation beneath the sea surface and to the air-sea transfer of the gases that influence the global climate.

Linda Otis, an assistant professor of oral diagnosis at the School of Dental Medicine, is a member of a team whose invention - an optical ultra-high resolution dental imaging system - is included in an international listing of the 100 most significant technological developments of the year.

Robert A. Weiss, a professor of chemical engineering and an expert in polymers, was elected a Fellow of the American Physical Society, an honor given to only a select number of scientists each year. The election was for his work on viscoelastic and phase equilibria in high polymers, the long chain molecules that comprise plastics, rubber and other materials.

Three faculty members recently completed research in other countries as Fulbright scholars: Judith Kelly, professor of molecular and cell biology, in France; Lucy McNeese, associate professor of modern and classical languages, in Morocco; and Robert Thorson, professor of geology and geophysics, in Chile.

Ninety-five student-athletes from the University were named Big East Academic All Stars. This reflects an approximately 20 percent increase from the previous year. Student-athletes won the NCAA National Championship in men's basketball and six Big East regular season championships (men's basketball, women's basketball, field hockey, men's soccer, women's soccer and volleyball).

Reducing Waste

The Health Center's Dempsey Hospital was rated the most cost-efficient hospital in the state, according to the Connecticut Office of Health Care Access. Dempsey Hospital's number one spot this year represents a dramatic jump in its ranking among the 32 hospitals included in the report. Dempsey was in 12th place in last year's survey, and in 22nd place the year before. The growth in efficiency for Dempsey Hospital was attributed, among other things, to consolidation of departments, elimination of positions through attrition, and better purchasing contract

agreements.

In the first four years of the state's investment in UCONN 2000, the University saved more than \$4 million in assuming the insurance risk by running an owner-controlled insurance program. Administrative costs for internal project management also were streamlined to total \$1.3 million, or one-half of one percent of the total cost of the program in the first four years.

Activities throughout the year ensured that the University's computer systems were Year 2000 compliant. The University's student systems (SAM, SARS, GATEWAY, and Thesis) were identified by the state to be among the state's "top 50 systems" in terms of the most impact on the public. Both the conversion and testing phases for these systems were completed by January of 1999.

Restructured and expanded information technology services were initiated with the creation of an Office of the Vice Chancellor for Information Services. The new Vice Chancellor is responsible for the library, the computer center and the office of telecommunications. The restructuring enables strategic planning and senior management in the broad areas of information systems and services, and information technology.

Strategic Planning

The Strategic Plan for the Storrs and Regional Campuses of the University, adopted by the Board of Trustees in 1995, has provided the framework for planning and implementing many strategic initiatives. A variety of initiatives have been derived from eight general strategic goals: (1) provide a challenging and supportive learning environment that fosters achievement and promotes excellence in research, scholarship and artistic creativity; (2) recruit and retain outstanding students, faculty and staff; (3) create a physical environment that reflects the University's expectation of excellence and encourages interaction among a diverse population; (4) enhance a sense of community; (5) allocate and develop resources on the basis of mission, value and performance; (6) streamline administrative functions; (7) promote the University's role in fulfilling the needs of the state, its citizens, and its economic institutions; and (8) foster a sense of partnership with the state.

Specific strategic initiatives in 1998-99 addressed the eight goals. Undergraduate education (goals 1,2,3 and 4) was strengthened by: improving the quality of core curriculum offerings; meeting the demands of enrollment increases (numbers of freshmen increased by 17 percent in Fall 1998); restructuring advising; increasing the resources of the Academic Center for Exploratory Students (ACES) for students undecided or in transition between majors; improving the freshmen year educational experience; expanding the Honors Program, including creating an honors residential hall; increasing the role of the Institute for Teaching and Learning in instruction; expanding the peer-tutoring program throughout campus housing; and encouraging student volunteering for community service.

Student access (goals 2,3 and 4) was increased by: enhancing recruitment materials to provide better information to prospective students, their families and high school counselors; accepting bank credit cards for payment of tuition, room, board and fees; strengthening the role of the Office of Multicultural Affairs; providing financial support for multicultural studies institutes, collaborative activities with the University of Puerto Rico, and Rainbow Center; establishing outreach to the middle and high schools to attract a diversity of individuals to the health professions; and providing the necessary accommodations for students served through the Center for Students with Disabilities and the University's Program for Students with Learning Disabilities.

Professional schools (goals 1 and 2) were strengthened by: increasing the clinical faculty in the School of Pharmacy to support its doctoral program; and expanding the offerings of the School of Business Administration at the Storrs and Stamford Campuses.

Technology (goals 1,4,5 and 6) was advanced by: beginning the implementation of a new student information system; planning the renovation of the Wilbur Cross building around an improved service delivery model and the supporting information system; planning a new library information system; enhancing the touch-tone registration system to support more student service functions; meeting the escalating demands for voice, data and video capability throughout the University; adding and maintaining "high tech" classrooms; and resolving a variety of Year 2000 issues remaining after conversion of the centrally supported programs.

Service, safety and efficiency (goals 2,5,6 and 7) were increased by: making physical and managerial improvements to maintain compliance with the Federal Animal Welfare Act; re-

structuring the parking and transportation system to support the Master Plan commitment to a pedestrian campus; ensuring human and animal safety and protecting the environment in the disposal of hazardous wastes; supporting assessment processes for academic and service units; and improving the human resources functions and personnel information system.

Economic development and business partnerships (goals 7 and 8) were enhanced by: funding four tenured professors in the Critical Technologies (biomedical/biotechnology, information technology, and photonics research); establishing the Connecticut Information Technology Institute (CITI) at the Stamford Campus; supporting the infrastructure and programs of an expanded Stamford Campus; and forming public-private partnerships that lead to the start-up of new Connecticut-based aquaculture companies.

The University's efforts to increase private support have been very successful. The \$20 million in state dollar match to private gifts, as provided for in UConn 2000, was fully committed in only 18 months. The program was extended so that endowment contributions could continue to be matched with state funds. Annual gift receipts have risen from \$8.2 million in 1995 to \$25 million in 1999. Total endowment assets of the UConn Foundation have grown from \$50 million in 1995 to \$165 million in 1999.

Raymond Neag, an alumnus, gave the University \$23 million, including \$21 for the School of Education and \$2 million for the Health Center. It is the largest gift ever given to a School of Education in the nation. The gift also is the largest to a public university in New England and the largest in UConn history. The total value, with the state's endowment matching grant program, is approximately \$27.4 million.

The gift was commemorated by renaming the School of Education as the Neag School of Education, the first named school at the University. The moneys will be used to: support two nationally recognized centers of excellence (the Neag Center for Gifted Education and Talent Development and the five-year teacher education program); build new centers of excellence (early childhood education, urban education, at-risk students, educational technology, and literacy); hire internationally recognized scholars; provide scholarships; recruit high-achieving graduate students; and provide outreach programs in Connecticut schools.

At the Health Center, the Neag gift will be used for a distinguished chair in the School of Medicine to recruit an outstanding new faculty member to develop or enhance major research and clinical programs.

Other gifts to fund new faculty positions include: the Master Artists Institute, to bring master artists and scholars to the School of Fine Arts each year, from Raymond and Beverly Sackler; a visiting professorship in human rights in the College of Liberal Arts and Sciences, by Gary S. Gladstein; the Northeast Utilities Foundation Chair in the Department of Civil and Environmental Engineering, from Northeast Utilities; and an information technology professorship in the School of Engineering, from SNET.

The two-day retail sale of UCONN 2000 bonds in March resulted in a total of \$92 million in orders, with 13 maturities oversold. This was the first time in state history that a State of Connecticut secured bond issue had been sold entirely to retail investors. The 1999 Series A UConn General Obligation Bonds are the fourth issuance in the UCONN 2000 program, which began in 1996.

A new five-year strategic plan for the Health Center called for continued growth in key research areas. Further emphasis will be given to genetic modeling of human disease, molecular genomics, structural biology and biomaterials, biomedical imaging, clinical epidemiology and computational biology.

Diversity Enhancement

The University engages in a variety of activities and efforts to promote and support a diverse and pluralistic environment for students and employees, including: Asian American Heritage Month, Black History Month, Latino History Month, Women's History Month, Women in the Arts Program, Multicultural Awareness Week, and lecture series sponsored by ethnic studies institutes. Several centers and academic programs promote an understanding of, and respect for, diversity, multiculturalism, and equity: the Institute for African American Studies, the H. Fred Simons African American Cultural Center, the Asian American Studies Institute, the Asian American Cultural Center, the Institute for Puerto Rican and Latino Studies, the Puerto Rican/Latin American Cultural Center, the Women's Studies Program, the Women's Center, the Cen-

ter for Students with Disabilities, and the Rainbow Center. The University has maintained a high ranking among large state agencies in annual expenditures and total expenditures to women and minority-owned Connecticut small businesses.

The first permanent Vice Provost for Multicultural Affairs was appointed to assist in the University's continuing efforts to enhance diversity in curriculum development and academic programs. The first permanent Director of the Rainbow Center also was hired. The American Association for University Professors (AAUP) Award for Teaching Promise was given to Dr. Michelle Williams, who holds a joint appointment in psychology and the Institute of African American Studies.

The University of Connecticut Health Center sponsored a month-long program on diversity awareness, beginning with the Executive Director of Americans for a Fair Chance. University faculty and staff continued their leadership and participation in the Tenth Women's Health Update and with its annual sponsorship of "Take Your Daughters to Work." Other activities to enhance diversity included a symposium series on Latino issues, a series of Asian American guest artists and authors, and the 30th Anniversary of the Urban Semester Program.

The University and the African National Congress began an oral history project to help document the lives and political roles of more than 200 anti-apartheid leaders in South Africa. Efforts of a University faculty member brought the papers of Mr. Nelson Mandela to the University's archives for future study by scholars. The University's Roper Center, with the support of the Center for Global Partnership and the Japan-U.S. Friendship Commission, developed a Web-accessible database of Japanese public opinion, the first on-line collection of Japanese survey data.

Minority student enrollment at all levels and campus locations, including the professional schools, was 15 percent with undergraduate enrollment at 16 percent and graduate and professional enrollment at 13 percent. The University's Fall 1998 entering freshman class at all campuses increased 27.3 percent in minority students from Fall 1997. Ninety-one countries were represented among the undergraduate and graduate international students. The 23rd annual Day of Pride Scholarship Awards Banquet again honored outstanding minority high school seniors in the state, with the top 15 students offered early admission and full four-year scholarships. The Law School hosted its 22nd annual Minority Law Day to stimulate interest among minority persons in the study of law. The July 1998 work force for Storrs and the Regional Campuses (as reported in the University's Affirmative Action Plan) included 14 percent minority faculty and staff. At the Health Center, the Fall 1998 work force included 15 percent minority faculty and staff.

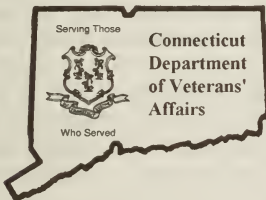
Implementation of recommendations from the President's Task Force on the Americans with Disabilities Act (ADA) included an institutional self-evaluation to review programmatic access and new University standards for construction, major renovations, and deferred maintenance projects. The University's Affirmative Action Plan was approved by the Connecticut Commission on Human Rights and Opportunities for the 14th consecutive time. With these and many other programs and initiatives, the University continues to promote and enhance its diversity.

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Department of Veterans' Affairs

At a Glance

EUGENE A. MIGLIARO, JR.,
Commissioner
Tasi Vriga, Deputy Commissioner
Established - 1986
Statutory authority - CGS Secs. 27-103 through 27-137
Central office - 287 West Street, Rocky Hill, CT 06067
Number of full-time employees - 343
Recurring operating expenses - \$27,977,822



Mission

The Department of Veterans' Affairs was established in 1986 with the Office of Advocacy and Assistance as its sole program. The Veterans' Home and Hospital, was incorporated as a program within the department in July 1988. The Veterans' Home and Hospital which has been in operation since 1864 and is the oldest state run veteran's facility in the country. A commissioner was appointed to lead the agency and the department embarked on a new and challenging mission to provide comprehensive health, social and rehabilitative services to veterans of the State of Connecticut. Subsequently, the Veterans' Home and Hospital program was reorganized into two separate and distinct programs; Veterans' Hospital Services and Residential and Rehabilitative Services.

Statutory Responsibility

The Commissioner of Veterans' Affairs oversees: the collection of information concerning services available to veterans; the determination of the number of veterans who are receiving and are entitled to benefits; the cooperation with service agencies and organizations in furnishing counsel and assistance to veterans; the assistance in the presentation of claims accruing to veterans under federal, state and local laws; the cooperation with all government and private agencies in securing benefits for veterans; the development of an agency-wide long range plan; the review of all appeals and final decisions made by veterans regarding adverse decisions affecting benefits to veterans participating in state programs; the enforcement of all regulations and procedures enacted in accordance with the provisions of chapter 54 (Uniform Administrative Procedure Act).

The Commissioner of Veterans' Affairs has all of the statutory powers and duties formerly vested in the Veterans' Home and Hospital Commission.

A board of trustees advises and assists the Commissioner on various matters affecting policy and operation of the department.

The Office of the Commissioner, currently comprised of a commissioner, deputy commissioner, hospital services, rehabilitative and recreational services, fiscal/administrative services, human resources, planning, safety and security, food services, a physical plant, and affirmative action, guides the development of agency policy as well as provides administrative direction and support.

The purpose of the Affirmative Action Program at the Department of Veterans' Affairs is to ensure equality in state government by developing a work force that is truly representative of all segments of our population. The department recognizes the need and pledges continued strong support for affirmative action. Accordingly, the agency will continue its long-standing policy of applying affirmative action criteria to all its personnel actions. The Affirmative Action Office is also responsible for investigating employee as well as patient discrimination complaints.

Public Service

The Department of Veterans' Affairs Hospital/Healthcare Services fulfills its promise to Connecticut's veterans by offering a progressive, caring continuum of healthcare, social and rehabilitative services dedicated to excellence. The hospital administrator, director of medicine, director of nursing, and program administrator for substance abuse lead a team of professional healthcare practitioners. In addition to medicine and nursing, specialty areas include dental, physical, occupational, speech, and recreational therapy, and laboratory, radiology, and cardiopulmonary. The healthcare information management, pharmacy, social work, and food service departments complete the healthcare service team.

The hospital is licensed by the state Department of Health Services and accredited by the Joint Commission on Accreditation of Health Care Organizations for acute (50) and chronic disease (300) beds. The programs in the hospital include: general medical care, Alzheimer's and related dementia's, hospice care, pain-management, respite care, detox, and long-term substance abuse rehabilitation. Furthermore, primary care clinics are available in-house for domicile and hospital patients.

The Residential and Rehabilitative Services Program features the Veterans' Improvement Program (VIP). This residential program provides veterans with a continuum of rehabilitation designed to, ultimately, return veterans to independent living in the community. Emphasis is directed toward developing an individualized rehabilitative plan which addresses a veteran's goals. The components of the program include room and board, substance abuse treatment, a patient work program, an interagency work experience program, vocational testing and counseling services, social work services, a transitional living program, an alternative living program, and various educational programs.

The Office of Advocacy and Assistance (OA&A), a unit within the department to aid and benefit veterans, is comprised of a deputy commissioner, veterans' service officer supervisor, and either one or two service officers in each of the six congressional district offices. Its mission is to provide advice, assistance and formal representation to the state's 339,000 veterans and their dependents in obtaining comprehensive rights, benefits and privileges to which they may be entitled under law.

Since its inception, the OA&A unit has brought more than \$71 million into the state in the form of new or increased federal veterans' benefits to Connecticut veterans and their families. In fiscal year 98/99, the Office of Advocacy and Assistance completed more than 1,371 applications and reviewed the eligibility status of an additional 71 veterans and/or dependents of veterans in the state's 357 nursing homes. These benefits have provided a direct savings to the state where the clients are Medicaid recipients and in other cases serve to delay the time when clients may be forced to rely on state funded services.

Since OA&A was first staffed in 1988, seven editions of *A Guide to Benefits for Connecticut Veterans* have been published and distributed. This guide has been in great demand throughout the state. The last guide was revised in January of 1998.

Stand Down, a one-day affair held at the Department in Rocky Hill which offers medical, legal and social services to the homeless and needy veterans of Connecticut, continues to be extremely successful. Since 1992, Stand Down has serviced approximately 4,368 veterans, and last year, in September of 1998, the department conducted "Stand Down 1998" wherein 842 veterans, particularly homeless veterans in need of assistance, came to the Rocky Hill campus to take advantage of these services and/or gain admission to Rocky Hill. "Stand Down 1999" is scheduled to be held on September 24, 1999.

Improvements/Achievements 1998-99

The Commissioner of Veterans' Affairs has implemented a comprehensive, wide-ranging effort to upgrade safety and security concerns, and to improve the general condition of the Rocky Hill facility. Accordingly, there have been numerous improvements to programs, operations and equipment, and a renewed emphasis has been placed on enforcing existing laws and regulations. State police dogs continue to be used regularly to find contraband which has resulted the reduction of drug abuse incidents on the grounds.

In addition, a new vehicle security system and gate-house was installed, limiting access to the facility to legitimate residents, employees and visitors. A new camera security system was also installed in the hospital, to better monitor activities in crucial areas of that building. The

system also serves as a deterrent to illegal or questionable actions by patients, staff and visitors.

Since the inception of the Veterans Improvement Program in 1991 approximately 300 veterans have returned to independent living, with approximately 200 of those also securing either part-time or full-time employment. Moreover, the department seeks to hire veterans to fill vacancies for classified positions within the agency. Presently, 8 veterans who were former patients are working at the facility.

The Commissioner maintains a toll-free telephone line to aid in constituency service and the dissemination of information to the state's veterans and their dependents.

The department continues to make numerous improvements in the areas of morale, welfare and recreation. During 1998-1999 contribution(s) of approximately \$8,692 were placed into the institutional general welfare fund and an additional \$21,415 was contributed towards the cost of STAND DOWN 98.

Reducing Waste

The department has enhanced its efforts to maximize revenues with new programs and initiatives including the hospital's participation in the Medicaid Recovery Program. This effort has contributed an additional \$28,250,340 in new net state revenue in the last five fiscal years ending June 1999. The agency's total net revenues for FY 98/99 were approximately \$17,534,276. These efforts have further enhanced the capability of the department to provide high quality long term care and rehabilitative services at a low cost to Connecticut taxpayers.

From July 1, 1998, to June 30, 1999, burial allowances of \$4,800 were paid. Installation costs for federal headstones for 3,500 veterans were \$220,690.

The state Veterans' Cemetery in Middletown was completed in the fall of 1985. From December 2, 1985, through June 30, 1999, there have been 3,282 interments.

An invaluable contribution was made to the department by volunteers from 245 veterans and service organizations, with nearly 5,400 volunteers contributing more than 50,856 hours at 680 events from July 1, 1996, through June 30, 1999.

Strategic Planning

The department continuously reviews all programs. Specific items of review include goals achievement, staffing requirements, equipment needs and resource utilization.

Each manager is required to prioritize existing programs and assess whether the department has the need and resources to continue the programs. Managers evaluate each program and activity to ensure that it operates in the most economical way possible. Managers report recommendations for improvements and modifications to the Commissioner.

The department works with the Federal Department of Veterans' Affairs in Connecticut medical centers and the Office of Policy and Management to ensure that the combined limited resources available to the state's veterans are utilized in the most efficient manner possible and to the fullest potential benefit of Connecticut's veterans.

Information Reported as Required by State Statute

Veterans requesting care from the department must be residents of the State of Connecticut at the time of application. A veteran must have a minimum of 90 days of honorable service in time of war to be eligible, unless separated from service-connected disability rated by the Federal Veterans Administration. Application for admission may be requested in advance. A fact sheet detailing admission requirements is available, along with a general information booklet.

The Connecticut Department of Veterans' Affairs is committed to continuing cost effective initiatives that will expand the extent and variety of quality services delivered to all Connecticut veterans.



Workers' Compensation Commission

At a Glance

JESSE M. FRANKL, *Chairman*
Established - 1913
Statutory authority - CGS Chapter 568
Central office - 21 Oak Street,
Hartford, CT 06106
Average number of
full-time employees - 151
Recurring operating
expenses - \$14,902,301.83
Capital outlay - \$491,263.15
Organizational structure - Chairman,
Commissioners (15), Chief Administrative
Officer, Administrative Support Services,
Education Services, Rehabilitation Ser-
vices, District Office Operations, Com-
pensation Review Board

Mission

The Workers' Compensation Commission administers the workers' compensation laws of the State of Connecticut with the ultimate goal of ensuring that workers injured on the job receive prompt payment of lost work time benefits and attendant medical expenses. To this end, the Commission facilitates voluntary agreements, adjudicates disputes, makes findings and awards, hears and rules on appeals, and closes out cases through full and final stipulated settlements.

Statutory Responsibility

Since the Workers' Compensation Act (Chapter 568, C.G.S.) was adopted in 1913, numerous enhancements and modifications in coverage and benefits have been made by the Legislature. With few exceptions, all workers and employers are now covered by the workers' compensation laws. When a worker has suffered a job-related injury or illness, he or she is entitled to certain well-defined wage replacement and medical benefits. The mission of the Workers' Compensation Commission is to ensure injured employees' rights are fully protected, and that workers and employers fully carry out their legal responsibilities. There are fifteen At-Large Commissioners who serve in eight district offices throughout the state. They are appointed by the Governor with legislative approval. A sixteenth Commissioner serves as Chairman of the Commission. The Chairman is responsible for administration of the entire Commission. The Chairman also serves as Chief of the Compensation Review Board (CRB) along with two other Commissioners appointed by him for one-year terms to hear appeals of cases decided by the Commissioners. The Commission also educates employees about their legal rights and helps rehabilitate and return injured workers to gainful employment. During FY 1999, the Commission's Safety Program Officers worked hard and effectively to monitor worker safety committees throughout the state. Prevention, education and rehabilitation are integral to the Commission's statutory responsibilities. A Statistical Division measures and monitors the caseload and performance of the Commission. In recent years, two landmark reform bills have become law.

The first, (Public Act 91-339) centralized administrative duties and powers in the person and Office of the Chairman to more effectively implement enforcement of the law. Twenty-three specific duties were assigned to the Chairman, including budgetary and personnel matters, assignment of Commissioners, and regulation of attorneys, physicians, and preferred provider organizations. The Chairman and his staff implement these responsibilities, guided by an Advisory Board composed of business and labor representatives, including an injured worker.

The second, (Public Act 93-228) effected historic reforms of the Connecticut workers' compensation laws effective July 1, 1993. The benefit modifications and related reforms contained in this Act, combined with the efficiencies engendered by Public Act 91-339, have resulted in substantial benefit cost reductions. Cumulative savings over the past five years are \$323 million compared to what costs would have been without the 1993 reforms.

Public Service

The Commission continually strives to upgrade service to its clientele. Two key goals are: expediting disputed claims settlement, and returning injured workers to productive jobs. These

goals are closely monitored by the Commission through manual and automated reporting systems.

The Safety Program Officers work cooperatively and confidentially with employers to devise and implement safety programs resulting in reduced accidents, injuries, medical costs and lost workdays. 6,775 employer sites have been visited, and 3,529 safety and health committees, covering 733,734 employees, have been approved. Medical care plans, including preferred provider organizations, are also reviewed for compliance with workplace safety and health laws.

The Commission participates in the Connecticut Licensing Information Center, providing one-stop licensing information to state businesses and entrepreneurs via the Internet.

Improvements/Achievements 1998-99

During the Fiscal Year ending June 30, 1999, the Commission moved aggressively to provide more effective and efficient service delivery.

All duties and responsibilities continue to be executed effectively and punctually with six fewer part-time employees than last year.

Continual monitoring of hearing backlogs at the eight district offices, and reassignment of resources to meet heavy workloads, have resulted in a major decrease in time between initial hearing request and the date the hearing is actually held. Hearing backlog is down dramatically for both informal and formal hearings. The Chairman actively monitors cases ensuring that no cases are unnecessarily delayed.

The Compensation Review Board continues to process cases expeditiously. This year, new appeals numbered 223. Meanwhile, there were 218 dispositions, including 133 written opinions.

During FY 1999, the number of workers successfully re-entering the workforce through workers' rehabilitation programs (chiefly on-the-job training) was 509. This 70 percent success rate was achieved despite an annual budget \$6.4 million lower than the 1994 budget, a cut of 56 percent. These individuals are now supporting themselves and their families and paying taxes as a direct result of workers' rehabilitation programs.

To help contain medical costs, (comprising more than 40 percent of total workers' compensation payments), the Commission staff reviews and approves applications for managed care plans. To date 3,492 employers with 392,770 employees have approved plans.

A steadily increasing percentage of on-line reporting of workplace injuries has resulted in more accurate data at lower cost.

The Commission's web site has expanded vastly, providing vital, up-to-date information on all aspects of the Commission's resources and services including the law, CRB decisions and late-breaking news. Users can download any or all of eleven web site channels without remaining on the Internet.

Reducing Waste

Worker Rehabilitation vocational education coordinators are assigned to specific district offices, allowing greater familiarity with client needs and resources available in various geographic areas of the state. Highly cost effective on-the-job training programs have replaced an earlier emphasis on formal education programs.

Strategic Planning

During FY 1999 the Commission implemented major hardware and software upgrades, resulting in greatly improved response time. Powerful new reporting software is enhancing the Commission's ability to address problems before they become costly, saving businesses and taxpayers many times the cost of the system. The Commission's data processing system anticipated the "Y2K" situation with no associated costs or problems foreseen. The strategic planning of the Commission has among its goals:

- elimination of duplicate claims;
- identification of non-insured employers;
- quick retrieval of records, saving personnel costs;
- sophisticated data analysis to identify trouble spots before they become serious, thus affording greatly enhanced service to Connecticut workers; and,
- worker rehabilitation case tracking.

Information Reported As Required by State Statute

The Commission’s Affirmative Action Plan is currently in compliance. While the commission has no full time Affirmative Action Officer, its Affirmative Action Plan and Program are prepared by its personnel officer. The commission will continue its commitment to the state Affirmative Action Program.

Key Performance Measures FY 1999

Injuries/Illnesses	75,115
Fatalities	60
Informal Hearings	36,859
Formal & Preformal Hearings	6,668
Stipulations	7,333
Voluntary Agreements	26,902
Awards	2,142
Dismissals	162
Education Services Information Responses	207,516



Appendices

Finance Advisory Committee

General Fund Transfers Between Appropriations

Trans. No.	Agency and Description	\$Amount
99-1	Office of Policy and Management - Drug Enforcement Program Local Governments to Drug Enforcement Program - Other than Local Governments, Children and Youth Program and Other Expenses	1,389,728.00
99-2	Consumer Protection - Personal Services to Other Expenses	125,000.00
99-3	Mental Health & Addiction - Managed Service to Special Population	500,000.00
99-5	Education - Repair of Instructional Equipment to Other Expenses	200,000.00
99-6	Education & Services for the Blind - Personal Services to Equipment	309,385.00
99-7	Social Services - Medicaid and Disproportionate Share/Medical Emergency Assistance to Hospital Assistance Program, Services to Persons with Disabilities and Traumatic Brain Injury	3,345,316.00
99-8	Education - Project Concern - Receiving District to OPEN Choice Program	219,492.00
99-9	Commission on Children - Personal Services to Other Expenses	40,000.00
99-10	Social Services - Adjustment of Recoveries and Safety Net Services to Anti-Hunger Programs and Services to the Elderly	250,000.00
99-11	Children and Families - Child Welfare Support Services to Treatment & Prevention of Child Abuse, Family Violence Services, Health & Community Services and Family Preservation Services	773,000.00
99-12	Attorney General - State Police Wiretap Case to Equipment	475,000.00
99-14	Social Services - Energy Assistance and Connecticut Children's Medical Center to Medicaid and Child Day Care	5,778,868.00
99-15	Revenue Services - Personal Services to Collection & Litigation Fund	150,000.00
99-16	Information Technology - Personal Services to Other Expenses	250,000.00
99-17	Criminal Justice - Personal Services to Witness Protection	261,141.00
99-18	Office of the Child Advocate - Personal Services to Other Expenses	10,000.00
99-19	Office of Policy and Management Property Tax Relief for Veterans to PILOT-New Manufacturing Machinery & Equipment	2,000,000.00
99-20	Police Officer Standards & Training Council - Other Expenses to Equipment	8,230.00
99-21	Military Department - Other Expenses to Firing Squads	33,000.00
99-22	Agriculture - WIC Coupon Program for Fresh Produce to WIC Program for Fresh Produce for Seniors	25,609.00
99-23	Mental Health & Addiction Services - Pre Trial Drug, Professional Services, General Assistance and Grants for Substance Abuse Services to Personal Services, Other Expenses, Drug Treatment for Schizophrenia, Workers Compensation Claims and Eastern Region	4,250,000.00
99-24	Social Services - Medicaid and Disproportionate Share/Medical Emergency Assistance to Hospital Assistance Program and Refunds of Collections	3,337,390.00
99-25	Education and Services for the Blind -	

	Equipment, Special Training for the Deaf, Blind and Education of Handicapped Blind Children to Personal Services, Education of Pre School Blind Children, Services for Persons with Impaired Vision and Tuition and Services - Public School Children	1,025,000.00
99-27	Legislative Management - Personal Services to Other Expenses, Equipment and Redistricting	800,000.00
99-28	Permanent Commission on the Status of Women - Equipment to Other Expenses	1,500.00
99-29	Latino and Puerto Rican Affairs Commission - Personal Services to Other Expenses	8,000.00
99-30	Controllers Miscellaneous Accounts - Unemployment Compensation and State Employees Health Service Costs to Higher Education Alternate Retirement System, Group Life Insurance and Employers Social Security Tax	3,875,000.00
99-32	Revenue Services - Personal Services to Other Expenses	250,000.00
99-33	Veterans' Affairs - Personal Services to Other Expenses	169,636.00
99-37	Chief Medical Examiner - Personal Services to Other Expenses	124,500.00
99-38	Mental Retardation (Revised) - Employment Opportunities & Day Services and Community Residential Services to Other Expenses and Clinical Services	2,070,650.00
99-40	Education - Excess Cost-Student Based to Adult Education, Medicaid Coordination, OPEN Choice Program and RESC Leases	2,410,000.00
99-41	State Library - Other Expenses to Basic Cultural Resources Grant	330,000.00
99-42	Correction - Personal Services, Other Expenses and Overcrowding Contingency to Workers' Compensation Claims and Inmate Medical Services	4,800,000.00
99-43	County Sheriffs - Special Deputy Sheriffs to Other Expenses	66,000.00
99-44	Judicial Branch - Other Expenses and Personal Expenses to Equipment	2,000,000.00
99-45	Special Revenue - Other Expenses to Personal Services	549,581.00
99-46	Governor's Office - Personal Services to New England Governor's Conference	26,600.00
99-47	Lieutenant Governor's Office - Personal Services to Other Expenses	4,500.00
99-48	Administrative Services - Hospital Billing System and Automated Personnel System to Workers' Compensation Claims and Refunds of Collections	1,350,000.00
99-49	Information Technology - Personal Services to Other Expenses	170,000.00
99-50	Public Works - Various accounts to Other Expenses, Facilities Design and Construction Expenses and Mystic Education Center Management	1,360,000.00
99-51	Criminal Justice - Personal Services, Forensic Sex Evidence Exams and Expert Witness to Other Expenses and Training and Education	180,000.00
99-52	Police Officer Standards and Training Council - Other Expenses to Equipment	19,390.00
99-53	Labor - Community Employment Incentive Program to Other Expenses	105,000.00
99-54	Human Rights & Opportunities - Personal Services to Other Expenses	110,000.00
99-55	Mental Retardation - Workers' Compensation Claims to Personal Services	400,000.00

99-56	Mental Health and Addiction Services - Managed Service, Professional Services, Special Population and Grants for Substance Abuse to Other Expenses, Workers' Compensation Claims and Drug Treatment for Schizophrenia	700, 000.00
99-58	Social Services - Child Care Services - TANF/CCDBG to Other Expenses, Privatize Data Processing Services, ConnPACE, Connecticut Home Care Program, Refunds of Collections and State Administered General Assistance	12,700,000.00
99-59	Correction - Aid to Paroled and Discharged Inmates to Other Expenses	135,000.00
99-60	Children and Families - Personal Services and Day Treatment Centers for Children to Other Expenses and Various Accounts	14,785,100.00
99-61	Public Defender Services - Personal Services to Other Expenses, Special Public Defender Non Contractual and Expert Witnesses	195,000.00
Total General Fund Transfers Between Appropriations		\$74,451,616.00

GENERAL FUND ADDITIONS TO APPROPRIATIONS FROM RESOURCES OF THE FUND

Trans. No.	Agency and Description	\$Amount
99-34	Claims Commissioner - Resources of the General Fund to Adjudicated Claims	25,000.00
Total General Fund Additions to Appropriations From the Resources of the Fund		\$ 25,000.00

TRANSPORTATION FUND TRANSFERS BETWEEN APPROPRIATIONS

Trans. No.	Agency and Description	\$ Amount
99-31	Comptrollers Miscellaneous Accounts - State Employees Health Service to Employers Social Security	900,000.00
99-39	Transportation - Personal Services and Other Expenses to Highway and Bridge Renewal Equipment	6,300,000.00
99-57	Transportation - Other Expenses to Workers' Compensation Claims	120,000.00
Total Transportation Fund Transfers Between Appropriations		\$7,320,000.00

SPECIAL FUND TRANSFER BETWEEN APPROPRIATIONS

Trans. No.	Agency and Description	\$ Amount
99-35	Insurance Department - Personal Services to Other Expenses	50,000.00
99-36	Office of Consumer Counsel - Personal Services to Other Expenses, Equipment and Fringe Benefits	220,000.00
	Total Special Fund Transfers Between Appropriations	\$ 470, 000.00

**FULL-TIME POSITIONS REVISIONS
IN ACCORDANCE WITH SECTION 23 OF S.A. 97-21**

Trans. No.	Agency and Description	Positions
99-4	Department of Mental Health & Addiction Services to Department of Children and Families	1
99-12	Department of Children and Families	75
99-26	Education and Services for the Blind	1
	Total Full-Time Position Revisions	77

SUMMARY OF TRANSACTIONS AND COMPARISON WITH PRIOR YEAR

General Fund:	1997-98	1998-99
Transfers Between Appropriations	\$131,007,829.54	\$74,451,616.00
Additions to Appropriations From Resources of the Fund		\$25,000.00
Transportation Fund:		
Transfers Between Appropriations	\$5,900,000.00	\$7,320,000.00
Special Fund:		
Transfers Between Appropriations	\$910,000.00	\$470,000.00
Capitol Expenditure from Operating Fund Reserves	\$2,700,000.00	

Department of Revenue Services

Division of Special Revenue

Form of Gaming	Gross Wager/Win	Amount Returned to the Public in Prizes	Amount Transferred to the General Fund
Lottery	\$ 871,004,788	\$ 517,674,087	\$271,308,022 ⁽¹⁾
Jai Alai and Greyhound Racing	\$ 58,439,440	\$ 45,599,401	\$ 633,813
Off-Track Betting	\$ 265,481,548	\$ 206,838,325	\$ 5,472,648
Charitable Games	\$ 55,871,657	\$ 28,021,440	\$ 1,258,380
Slot Revenue Foxwoods Casino	\$ 694,324,415		\$ 173,581,104
Slot Revenue Mohegan Sun Casino	\$ 463,801,176		\$ 113,450,294
Total	\$2,408,923,024	\$798,133,253	\$ 565,704,261
Other Contributions			
License and Registration Fees	\$ 160,635		
Refunds and Reimbursements	\$2,049,794		
Miscellaneous	\$ 76,960		

Net Disbursements for the Division of Special Revenue

Net cost of administering the Division of Special Revenue for Fiscal 1999 is \$9,239,562. This is inclusive of net general fund expenditures, net Indian gaming expenditures and expenditures from Y2K funds. Total disbursements are \$20,376,271 inclusive of the net cost of administering the Division of Special Revenue and net expenditures of the pending receipts and betting taxes funds.

⁽¹⁾ Lottery transfers to the General Fund are made by the Connecticut Lottery Corporation, not the Division of Special Revenue.

Connecticut Lottery Corporation For the Year Ended June 30, 1999

Lottery

Unaudited Lottery amounts for the year reached a record Sales total of \$871,004,788, with \$271,308,022 being contributed to the General Fund and \$517,674,087 awarded in prizes. The amount for unclaimed prizes was \$14,101,780. Lottery advertising expenditures were \$5,600,000 for the year. The detail for sales and prizes for the fiscal year is as follows:⁽¹⁾

Lottery Games	Sales	Prizes Awarded
Daily/Play 4 Midday 3 & 4	\$172,704,305	\$ 87,263,872
Lotto	\$ 51,307,443	\$ 26,003,187
Cash 5	\$ 48,359,709	\$ 28,633,957
Powerball	\$124,598,286	\$ 59,190,516
Instant	\$474,035,045	\$316,582,554
Total	\$871,004,788	\$517,674,087

⁽¹⁾ These are unaudited figures supplied by the Connecticut Lottery Corporation for Fiscal Year 1999.

Parimutuel Wagering and Off-Track Betting

Jai Alai, dog racing and teletheater performance fees totaling \$230,987 were collected in accordance with the provisions of Public Act No. 86-312 and deposited in the Chronic Gamblers Treatment and Rehabilitation Fund. Transfers to the General Fund totaled \$6,106,462. A total of \$6,740 was collected for fines related to parimutuel regulatory violations.

Jai Alai and Greyhound Racing

Parimutuel Facility	Attendance	Amount Wagered	Amount Returned to Public (Prizes)	General Fund Transfers	Grants to Municipalities
Milford Jai Alai	228,460	\$32,269,685	\$24,887,040	\$341,630	\$322,697
Plainfield Greyhound Park	206,190	\$22,885,833	\$18,197,758	\$255,094	\$242,188
Shoreline Star Greyhounds	76,355	\$3,283,922	\$2,514,603	\$37,090	\$32,839
Total	\$511,005	\$58,439,440	\$45,599,401	\$633,814	\$597,724

Off-Track Betting

Off-Track Betting Facility	Total Performances	Amt. Wagered	Amt. Returned to Public (Prizes)	Gen. Fund Transfers	Grants to Host Municipalities
Bradley Teletheater	720	\$ 54,401,969	\$ 42,384,912	\$1,121,444	\$ 960,580
New Haven Teletheater	720	\$ 56,514,229	\$ 44,030,587	\$1,164,987	\$ 904,227
Plainfield Simulcast	723	\$ 18,156,743	\$ 14,146,031	\$ 374,284	\$ 290,508
Bridgeport Simulcast	587	\$ 35,961,784	\$ 28,018,050	\$ 741,318	\$ 575,389
New Britain	704	\$ 15,270,250	\$ 11,897,147	\$ 314,782	\$ 244,324
Bristol	704	\$ 9,331,428	\$ 7,270,174	\$ 192,358	\$ 149,303
Hartford	617	\$ 18,029,709	\$ 14,047,058	\$ 371,665	\$ 288,475
Branches and Telephone Betting	N/A	<u>\$ 57,815,436</u>	<u>\$ 45,044,366</u>	<u>\$1,191,810</u>	<u>\$ 924,361</u>
Total		\$265,481,548	\$206,838,325	\$5,472,648	\$4,337,167

Charitable Gaming

A total of \$82,905 was collected in registration/permit fees from all Charitable Gaming activities. The net profit to charitable organizations totaled \$18,816,718 for all activities. Amounts wagered, prizes paid and amounts transferred to the General Fund are presented below:

Game	Authorized Organizations	Gross Wager	Prizes Paid	Transferred to General Fund
Bingo	472 ⁽²⁾	\$31,530,981	\$22,658,157	\$ 422,488
Sealed Tickets	400 ⁽²⁾	\$ 8,358,927	\$ 5,363,283	\$ 835,892
Raffles	1,191 ⁽³⁾	\$14,897,255	N/A ⁽¹⁾	N/A ⁽¹⁾
Bazaars	234 ⁽³⁾	\$ 729,070	N/A ⁽¹⁾	N/A ⁽¹⁾
Las Vegas Nights (Games of Chance)	39 ⁽³⁾	\$ 355,424	N/A ⁽¹⁾	N/A ⁽¹⁾
Total	2,336	\$55,871,657	\$28,021,440	\$1,258,380

- (1) Information not reported to the Division of Special Revenue.
- (2) This reflects the number of permits issued during the fiscal year.
- (3) This reflects the actual number of reports received during the fiscal year.

The Number of Gaming Events and Games Fiscal Year 1998-1999

Event or Game	Number
<u>Lottery Drawings</u>	
Mid-day 4 ⁽¹⁾	261
Mid-day 3 ⁽¹⁾	261
Nightly Numbers ⁽²⁾	365
Play-4	365
Lotto	104
Cash 5	365
Powerball	105
New Instant Lottery Games ⁽⁴⁾	53
Instant Lottery Games with Settlements during Year	122

OTB Branch/Simulcast Race Days	363
OTB Branches Open	8
Simulcast Facilities Open	7
Telephone Betting Days	363

Simulcast Facility Performances

New Haven	720
Windsor Locks	720
Bridgeport	587
Plainfield	723
Bristol ⁽³⁾	704
New Britain ⁽³⁾	704
Hartford ⁽³⁾	617

Greyhound Racing Performances	641
Jai Alai Performances	443
Bingos	14,196
Bazaars	218
Raffles	1,165
Games of Chance	90
Sealed Ticket Games Offered	11

Foxwoods Casino - Slot Machines in Operation ⁽⁵⁾	5,883
Mohegan Sun Casino - Slot Machines in Operation ⁽⁵⁾	3,024

- (1) These two daily drawings games commenced on February 1, 1998.
- (2) Formerly the Daily Numbers, changed January 31, 1998.
- (3) Converted from OTB branch operation to simulcast facilities on August 16, 1997 pursuant to PA 97-277.
- (4) Excludes re-issues of games such as Aces High and Mega Money which have new game numbers but no apparent change in the games.
- (5) As of June 30, 1999.

Regulatory Facts for the Division of Special Revenue Fiscal Year 1998-1999

Gambling Regulation

Urine tests conducted (greyhound specimens)	15,907
Fines collected for violation of rules	\$6,740

Licenses issued

Occupational	2,572
Lottery - New	430
Lottery - Renewals	2,771

Foxwoods Casino

Temporary licenses issued	1,994
Permanent licenses issued	2,139
Active Temporary from previous year	1,484
Active Permanent from previous years	6,668
Total active licenses	8,152

Mohegan Casino

Temporary licenses issued	1,362
Permanent licenses issued	1,618
Active Temporary from previous year	1,115
Active Permanent from previous year	3,478
Total active licenses	4,593

Charitable organizations

Amusements & recreational Bingo registrations	2
Bingo Registrations	23
Bingo Permits	472
Personal Identification Numbers	1,407
Sealed Ticket Permits	400
Individual Sales Permits	696
Bazaar Permits	235
Raffle Permits	1,241
Games of Chance Registrations	19
Games of Chance Permits	90
Equipment Dealer Registrations	10
Equipment Operator Registration	6

Security

Investigations	106
Referrals to State Police	17

Charitable Games Regulatory Visits

Bingos	946
Sealed Tickets	650
Bazaars	68
Raffles	1

Administrative Hearings

Lottery	259	Casino	154
Parimutuel/OTB	27	Patron Reinstatement	11
Charitable Games	18	Total Hearings	469
		Gaming Policy Board Appeals	10

Teachers' Retirement Board

	1998-99	1997-98
Agency Staff (Funded)	30	29
Membership		
Active	45,100	43,452
Inactive	7,055	7,137
New teachers during year	3,093	2,452
Reinstated members	257	185
Withdrawals	481	440
Retirement During The Year	1,026	1,125
Regular retirement	594	645
Disability retirement	57	60
Early Retirement	285	342
Proratable	51	39
Deferred retirement	39	39
Average age at retirement	61.2	60.4
Average length of service	29.4	29.6
Average salary base	\$62,330	\$60,561
Average annual retirement allowance	\$34,000	\$33,585
Average Annual Retirement Allowances		
All retirements	\$26,934	\$25,732
Regular retirement	\$31,057	\$29,577
Disability retirement	\$21,001	\$20,044
Early retirement	\$24,620	\$23,704
Proratable retirement	\$11,115	\$10,721
Deferred retirement	\$8,715	\$8,455
Retirement Fund Balance 7/1	\$5,965,146,207	\$5,304,755,263
Retirement Payments During The Year		
Total Retirement Payments	\$548,836,427	\$511,011,557
Refunds Of Teachers Contributions	\$14,125,659	\$12,023,580
Total expenditures for benefits	\$562,962,086	\$523,035,137
Receipts Of The Retirement Fund	1998-99	1997-98
Teacher contributions, including		
installation payments	\$173,058,867	\$172,022,116
Teachers' personal payments	\$7,673,867	\$6,070,802
Investment Income (Treasurer's Estimate)	\$347,236,275	\$848,792,250
State appropriation for funding normal		
cost and past service liabilities	\$188,334,000	\$179,365,000
Interest late assessments	\$12,470	\$26,446
STIF Income	\$1,903,887	-
Transfer to Health Fund	(\$23,892,999)	(\$22,850,533)
Total revenue	\$694,326,367	\$1,183,426,081
Retirement Fund Balance 6/30	\$6,096,510,488	\$5,965,146,207

Health Insurance Fund	1998-99	1997-98
Balance 7/1	\$7,347,010	\$12,296,649
Receipts from		
Teachers Contributions	\$23,892,999	\$22,850,533
Investment Income	\$261,749	\$529,447
General Fund Income	\$8,445,295	\$3,500,000
Payments to retirees/school districts	(\$34,333,186)	(\$28,329,620)
Health Insurance Fund Balance 6/30	\$5,613,867	\$7,347,010

